

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information PHA Name: <u>Schenectady Municipal Housing Authority</u> PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): <u>04/2012</u> PHA Code: <u>NY028</u>				
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: <u>1018</u> Number of HCV units: <u>1386</u>				
3.0	Submission Type <input type="checkbox"/> 5-Year and Annual Plan <input checked="" type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only				
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)				
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program PH HCV
	PHA 1:				
	PHA 2:				
	PHA 3:				
5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.				
5.1	Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years: <p style="text-align: center;">N/A – Complete with 5-Year Plan Only</p>				
5.2	Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan. <p style="text-align: center;">N/A – Complete with 5-Year Plan Only</p>				
6.0	PHA Plan Update (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions. Please see attachment.				
7.0	Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. Include statements related to these programs as applicable. Please see attachment.				
8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.				
8.1	Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> , form HUD-50075.1, for each current and open CFP grant and CFFP financing. Please see attachment.				
8.2	Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i> , form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan. Please see attachment.				
8.3	Capital Fund Financing Program (CFFP). <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.				
9.0	Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location. <p style="text-align: right;">N/A – Complete with 5-Year Plan Only</p>				

9.1	Strategy for Addressing Housing Needs. Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan. N/A – Complete with 5-Year Plan Only
10.0	Additional Information. Describe the following, as well as any additional information HUD has requested. (a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan. N/A – Complete with 5-Year Plan Only (b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification" N/A – Complete with 5-Year Plan Only
11.0	Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office. (a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only) (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations. (g) Challenged Elements (h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only) (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only) Please see attachment for all documents.

This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality

Instructions form HUD-50075

Applicability. This form is to be used by all Public Housing Agencies (PHAs) with Fiscal Year beginning April 1, 2008 for the submission of their 5-Year and Annual Plan in accordance with 24 CFR Part 903. The previous version may be used only through April 30, 2008.

1.0 PHA Information

Include the full PHA name, PHA code, PHA type, and PHA Fiscal Year Beginning (MM/YYYY).

2.0 Inventory

Under each program, enter the number of Annual Contributions Contract (ACC) Public Housing (PH) and Section 8 units (HCV).

3.0 Submission Type

Indicate whether this submission is for an Annual and Five Year Plan, Annual Plan only, or 5-Year Plan only.

4.0 PHA Consortia

Check box if submitting a Joint PHA Plan and complete the table.

5.0 Five-Year Plan

Identify the PHA's Mission, Goals and/or Objectives (24 CFR 903.6). Complete only at 5-Year update.

5.1 Mission. A statement of the mission of the public housing agency for serving the needs of low-income, very low-income, and extremely low-income families in the jurisdiction of the PHA during the years covered under the plan.

5.2 Goals and Objectives. Identify quantifiable goals and objectives that will enable the PHA to serve the needs of low income, very low-income, and extremely low-income families.

6.0 PHA Plan Update. In addition to the items captured in the Plan template, PHAs must have the elements listed below readily available to the public. Additionally, a PHA must:

- (a) Identify specifically which plan elements have been revised since the PHA's prior plan submission.
- (b) Identify where the 5-Year and Annual Plan may be obtained by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on its official website. PHAs are also encouraged to provide each resident council a copy of its 5-Year and Annual Plan.

PHA Plan Elements. (24 CFR 903.7)

1. **Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures.** Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment policies for public housing; and procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists.

2. **Financial Resources.** A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA Operating, Capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources.
3. **Rent Determination.** A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units.
4. **Operation and Management.** A statement of the rules, standards, and policies of the PHA governing maintenance management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA.
5. **Grievance Procedures.** A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants.
6. **Designated Housing for Elderly and Disabled Families.** With respect to public housing projects owned, assisted, or operated by the PHA, describe any projects (or portions thereof), in the upcoming fiscal year, that the PHA has designated or will apply for designation for occupancy by elderly and disabled families. The description shall include the following information: **1)** development name and number; **2)** designation type; **3)** application status; **4)** date the designation was approved, submitted, or planned for submission, and; **5)** the number of units affected.
7. **Community Service and Self-Sufficiency.** A description of: **(1)** Any programs relating to services and amenities provided or offered to assisted families; **(2)** Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS; **(3)** How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. **(Note: applies to only public housing).**
8. **Safety and Crime Prevention.** For public housing only, describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must include: **(i)** A description of the need for measures to ensure the safety of public housing residents; **(ii)** A description of any crime prevention activities conducted or to be conducted by the PHA; and **(iii)** A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities.

9. **Pets.** A statement describing the PHAs policies and requirements pertaining to the ownership of pets in public housing.

10. **Civil Rights Certification.** A PHA will be considered in compliance with the Civil Rights and AFFH Certification if: it can document that it examines its programs and proposed programs to identify any impediments to fair housing choice within those programs; addresses those impediments in a reasonable fashion in view of the resources available; works with the local jurisdiction to implement any of the jurisdiction's initiatives to affirmatively further fair housing; and assures that the annual plan is consistent with any applicable Consolidated Plan for its jurisdiction.

11. **Fiscal Year Audit.** The results of the most recent fiscal year audit for the PHA.

12. **Asset Management.** A statement of how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.

13. **Violence Against Women Act (VAWA).** A description of: 1) Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; 2) Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and 3) Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.

7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers

(a) Hope VI or Mixed Finance Modernization or Development.

1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>

(b) Demolition and/or Disposition.

With respect to public housing projects owned by the PHA and subject to ACCs under the Act: (1) A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at:

http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm

Note: This statement must be submitted to the extent that approved and/or pending demolition and/or disposition has changed.

(c) Conversion of Public Housing.

With respect to public housing owned by a PHA: 1) A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or

that the public housing agency plans to voluntarily convert; 2) An analysis of the projects or buildings required to be converted; and 3) A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/centers/sac/conversion.cfm>

(d) **Homeownership.** A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.

(e) **Project-based Vouchers.** If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.

8.0 **Capital Improvements.** This section provides information on a PHA's Capital Fund Program. With respect to public housing projects owned, assisted, or operated by the public housing agency, a plan describing the capital improvements necessary to ensure long-term physical and social viability of the projects must be completed along with the required forms. Items identified in 8.1 through 8.3, must be signed where directed and transmitted electronically along with the PHA's Annual Plan submission.

8.1 **Capital Fund Program Annual Statement/Performance and Evaluation Report.** PHAs must complete the *Capital Fund Program Annual Statement/Performance and Evaluation Report* (form HUD-50075.1), for each Capital Fund Program (CFP) to be undertaken with the current year's CFP funds or with CFFP proceeds. Additionally, the form shall be used for the following purposes:

- (a) To submit the initial budget for a new grant or CFFP;
- (b) To report on the Performance and Evaluation Report progress on any open grants previously funded or CFFP; and
- (c) To record a budget revision on a previously approved open grant or CFFP, e.g., additions or deletions of work items, modification of budgeted amounts that have been undertaken since the submission of the last Annual Plan. The Capital Fund Program Annual Statement/Performance and Evaluation Report must be submitted annually.

Additionally, PHAs shall complete the Performance and Evaluation Report section (see footnote 2) of the *Capital Fund Program Annual Statement/Performance and Evaluation* (form HUD-50075.1), at the following times:

- 1. At the end of the program year; until the program is completed or all funds are expended;
- 2. When revisions to the Annual Statement are made, which do not require prior HUD approval, (e.g., expenditures for emergency work, revisions resulting from the PHAs application of fungibility); and
- 3. Upon completion or termination of the activities funded in a specific capital fund program year.

8.2 Capital Fund Program Five-Year Action Plan

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to eliminate the previous year and to add a new fifth year (rolling basis) so that the form always covers the present five-year period beginning with the current year.

8.3 **Capital Fund Financing Program (CFFP).** Separate, written HUD approval is required if the PHA proposes to pledge any

portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's website at:
<http://www.hud.gov/offices/pih/programs/ph/capfund/cffp.cfm>

9.0 Housing Needs. Provide a statement of the housing needs of families residing in the jurisdiction served by the PHA and the means by which the PHA intends, to the maximum extent practicable, to address those needs. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

9.1 Strategy for Addressing Housing Needs. Provide a description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

10.0 Additional Information. Describe the following, as well as any additional information requested by HUD:

- (a) **Progress in Meeting Mission and Goals.** PHAs must include (i) a statement of the PHAs progress in meeting the mission and goals described in the 5-Year Plan; (ii) the basic criteria the PHA will use for determining a significant amendment from its 5-year Plan; and a significant amendment or modification to its 5-Year Plan and Annual Plan. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**
- (b) **Significant Amendment and Substantial Deviation/Modification.** PHA must provide the definition of "significant amendment" and "substantial deviation/modification". **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.)**

- (c) PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance. **(Note: Standard and Troubled PHAs complete annually).**

11.0 Required Submission for HUD Field Office Review. In order to be a complete package, PHAs must submit items (a) through (g), with signature by mail or electronically with scanned signatures. Items (h) and (i) shall be submitted electronically as an attachment to the PHA Plan.

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)*
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)*
- (d) Form SF-LLL, *Disclosure of Lobbying Activities (PHAs receiving CFP grants only)*
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)*
- (f) Resident Advisory Board (RAB) comments.
- (g) Challenged Elements. Include any element(s) of the PHA Plan that is challenged.
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.1.
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.2.

2012

SMHA Annual Plan



Schenectady Municipal Housing Authority
375 Broadway, Schenectady, NY 12305

Plan Elements Revised by SMHA Since the Last Annual Plan Submission

The U.S. Department of Housing & Urban Development (HUD) requires that the Schenectady Municipal Housing Authority have certain “Public Housing Authority Plan Elements” readily available to the public, and to specify which plan elements have been revised since the prior plan submission.

The following is a list of all required “Public Housing Authority Plan Elements” as defined by HUD, and a statement by Schenectady Municipal Housing Authority identifying if the Plan Elements will be revised upon approval of this FY 2012 Annual Plan, to be effective starting April 1, 2012.

- 1) Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures:

No significant amendments or substantial deviations.

- 2) Financial Resources:

Updated to reflect current conditions.

- 3) Rent Determination

The Section 8 Housing Choice Voucher Program is proposing an amendment to its Administrative Plan, Section 11.6, Utility Allowance. The amended Section is listed below. Additions to the Sections are underlined and deleted parts are ~~lined through~~.

- 4) Operation and Management

No significant amendments or substantial deviations.

- 5) Grievance Procedures

No significant amendments or substantial deviations.

- 6) Designated Housing for Elderly and Disabled Families

No significant amendments or substantial deviations.

- 7) Community Service and Self-Sufficiency

No significant amendments or substantial deviations.

8) Safety and Crime Prevention

No significant amendments or substantial deviations.

9) Pets

No significant amendments or substantial deviations.

10) Civil Rights Certification

The Schenectady Municipal Housing Authority has certified compliance with the Civil Rights requirements.

11) Fiscal Year Audit

The most recent audit is for the period ended March 31, 2010. The audit results are attached, and a complete copy of the audit is available upon request. The audit for the period ended March 31, 2011 shall be added to this document upon completion and approval by HUD, which will occur in the early part of 2012.

12) Asset Management

No significant amendments or substantial deviations.

13) Violence Against Women Act

No significant amendments or substantial deviations.

Locations where the Public may Obtain Copies of the Annual and 5-Year Plan

The Schenectady Municipal Housing Authority Annual and 5-Year Plan is available to the public at the following locations:

- Central Office & Downtown Asset Management Project
375 Broadway
Schenectady, New York 12305
- Eastside Asset Management Project
Project Manager's Office
Fasciola Drive, Schenectady, NY 12304
- Yates Village Asset Management Project
Project Manager's Office
Van Vranken Avenue
Schenectady, NY 12308

Eligibility, Selection and Admissions Policies, Including Deconcentration and Wait List Procedures

Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment policies for public housing; and procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists.

SECTION 8

4.0 MANAGING THE WAITING LIST

4.1 *OPENING AND CLOSING THE WAITING LIST*

Opening of the waiting list will be announced via public notice that applications for Section 8 will again be accepted. The public notice will state where, when, and how to apply. The notice will be published in a local newspaper of general circulation, and also by any available minority media. The public notice will state any limitations to who may apply.

The notice will state that applicants already on waiting lists for other housing programs must apply separately for this program, and that such applicants will not lose their place on other waiting lists when they apply for Section 8. The notice will include the Fair Housing logo and slogan and otherwise be in compliance with Fair Housing requirements.

Closing of the waiting list will be announced via public notice. The public notice will state the date the waiting list will be closed. The public notice will be published in a local newspaper of general circulation, and also by any available minority media.

4.2 *TAKING APPLICATIONS*

Families wishing to apply for the Section 8 Program will be required to complete an application for housing assistance. Applications will be accepted as defined in a public

notice as defined in Section 4.1. When the waiting list is opened, applications for Section 8 will be accepted during the published hours at:

Schenectady Municipal Housing Authority
375 Broadway
Schenectady, New York 12308

Applications are taken to compile a waiting list. When the waiting list is open, completed applications will be accepted from all applicants. The Schenectady Municipal Housing Authority will later verify the information in the applications relevant to the applicant's eligibility, admission, and level of benefit. Verification of preference points will be made at the time the application is submitted.

The completed application will be dated and time stamped upon its return to the Schenectady Municipal Housing Authority.

Persons with disabilities who require a reasonable accommodation in completing an application may call the Schenectady Municipal Housing Authority to make special arrangements to complete their application. Although an accommodation may be made, the application will be time stamped when it is completed and received by the SMHA.

For example: A person with a disability who is unable to stand in line when the wait list opens requests that they be able to fax in their application. The request would be granted and the application would be time stamped when it is removed from the fax machine.

A Telecommunication Device for the Deaf (TDD) is available for the deaf. The TDD telephone number is (518) 372-0148.

The application process will involve two phases. The first phase is the initial application for housing assistance or the pre-application. The pre-application requires the family to provide limited basic information including name, address, phone number, family composition and family unit size, racial or ethnic designation of the head of household, income category, and information establishing any preferences to which they may be entitled. This first phase results in the family's placement on the waiting list.

Upon receipt of the families pre-application, the Schenectady Municipal Housing Authority will make a preliminary determination of eligibility. If the Schenectady Municipal Housing Authority determines the family to be ineligible, the family will be

notified in writing. The notice will state the reasons and offer the family the opportunity of an informal review of this determination.

An applicant may at any time report changes in their applicant status including changes in family composition, income, or preference factors by completing a Section 8 application update form in the lobby of the SMHA administrative offices. Changes made to a families application may not be made over the phone since there is no way of verifying the caller on the other end of the line. The Schenectady Municipal Housing Authority will annotate the applicant's file and will update their place on the waiting list.

The second phase is the final determination of eligibility, referred to as the full application. The full application takes place when the family nears the top of the waiting list. The Schenectady Municipal Housing Authority will ensure that verification of all preferences, eligibility, suitability selection factors are current in order to determine the family's final eligibility for admission into the Section 8 Program. The family must be eligible for preference points claimed on their application at the time a Housing Assistance Payment contract is executed by the SMHA on behalf of the family.

4.3 ORGANIZATION OF THE WAITING LIST

The waiting list will be maintained in accordance with the following guidelines:

- A. The application will be a permanent file;
- B. All applications will be maintained electronically in order of preference and then in order of date and time of application;
- C. Any contact between the Schenectady Municipal Housing Authority and the applicant will be documented in the applicant file.

Note: The waiting list cannot be maintained by bedroom size under current HUD regulations.

4.4 FAMILIES NEARING THE TOP OF THE WAITING LIST

When a family appears to be within 2 months of being offered assistance, the family will be invited to an interview and the verification process will begin. The family's waiting list preference will be verified to insure they are still eligible to receive the preference points. If the family no longer qualifies to be near the top of the list, the family's name will be returned to the appropriate spot on the waiting list.

Once the preference has been verified the family will complete a full application, present Social Security Number information, citizenship/eligible immigrant information, and sign the Consent for Release of Information forms.

4.5 MISSED APPOINTMENTS

All applicants who fail to keep a scheduled appointment in accordance with the paragraph below will be sent a notice of denial.

The Schenectady Municipal Housing Authority will allow the family to reschedule appointments for good cause. Examples of good cause include but are not limited to, hospitalizations, death of a family member, jury duty, family emergencies etc. The SMHA maintains the right to require documentation for verification purposes of missed appointments. When a good cause exists, the Schenectady Municipal Housing Authority will work closely with the family to find a more suitable time. Applicants will be offered the right to an informal review before being removed from the waiting list.

4.6 PURGING THE WAITING LIST

The Schenectady Municipal Housing Authority will update and purge its waiting list when necessary to ensure that the pool of applicants reasonably represents interested families. Purging also enables the Housing Authority to update the information regarding address, family composition, income category and preferences.

The purge will be done by mail. If we do not receive a reply from the applicant within (14) fourteen days from the date on the purge letter, we shall assume that the applicant is no longer interested in obtaining assisted housing under the Section 8 program, and will remove the applicant from the waiting list (postmark on envelope will determine the date received). This requirement can be waived if:

- A. The applicant certifies that an emergency or other critical situation beyond the applicants control caused a delay in returning the purge letter. An extension period of fourteen (14) days will be allowed for this purpose.
- B. The applicant provides proof that a hospital stay caused a delay in returning the purge letter. An extension period of thirty (30) days will be allowed for this purpose.

4.7 REMOVAL OF APPLICANTS FROM THE WAITING LIST

The Schenectady Municipal Housing Authority will not remove an applicant's name from the waiting list unless:

- A. The applicant requests that the name be removed;
- B. The applicant fails to respond to a written request for information or a request to declare their continued interest in the program or misses scheduled appointments; (no follow up letters will be sent to applicants in this category if the letters are returned by the Post Office as non deliverable due to tenant moving), or
- C. The applicant does not meet either the eligibility or screening criteria for the program.

4.8 GROUNDS FOR DENIAL

The Schenectady Municipal Housing Authority will deny assistance to applicants who:

- A. Do not meet any one or more of the eligibility criteria;
- B. Do not supply information or documentation required by the application process;
- C. Fail to respond to a written request for information or a request to declare their continued interest in the program;
- D. Fail to complete any aspect of the application or lease-up process;
- E. Have a history of criminal activity by any household member involving crimes of physical violence against persons or property, and any other criminal activity including drug-related criminal activity that would adversely affect the health, safety, or well being of other tenants or staff, or cause damage to the property. Evidence of criminal activity. In determining whether to deny or terminate assistance based on drug-related criminal activity or violent criminal activity, the HA may deny or terminate assistance if the preponderance of evidence indicates that a family member has engaged in such activity, regardless of whether the family member has been arrested or convicted.

- F. Currently owes rent or other amounts to any housing authority in connection with the public housing or Section 8 Programs.
- G. Have committed fraud, bribery, or any other corruption in connection with any Federal housing assistance program, including the intentional misrepresentation of information related to their housing application or benefits derived there from;
- H. Have a family member who was evicted from public housing within the last three years;
- I. Have a family member who was evicted from assisted housing within five years of the projected date of admission because of drug-related criminal activity involving the illegal manufacture, sale, distribution, or possession with the intent to manufacture, sell, distribute a controlled substance as defined in Section 102 of the Controlled Substances Act, 21 U.S.C. 802;
- J. Have a family member who is illegally using a controlled substance or abuses alcohol in a way that may interfere with the health, safety, or right to peaceful enjoyment of the premises by other residents. The Schenectady Municipal Housing Authority may waive this requirement if:
 - 1. The person demonstrates to the Schenectady Municipal Housing Authority's satisfaction that the person is no longer engaging in drug-related criminal activity or abuse of alcohol;
 - 2. The person has successfully completed a supervised drug or alcohol rehabilitation program;
 - 3. The person has otherwise been rehabilitated successfully; or
 - 4. The person is participating in a supervised drug or alcohol rehabilitation program.
- K. Have engaged in or threatened abusive or violent behavior towards any Schenectady Municipal Housing staff or residents;

- L. Have a family household member who has been terminated under the Certificate or Voucher Program during the last three years;
- M. Have a family member who has been convicted of manufacturing or producing methamphetamine (speed) (Denied for life);
- N. Have a family member with a lifetime registration under a State sex offender registration program (Denied for life).

4.9 NOTIFICATION OF NEGATIVE ACTIONS

Any applicant whose name is being removed from the waiting list will be notified by the Schenectady Municipal Housing Authority, in writing, that they have ten (10) business days, from the date of the written correspondence, to present mitigating circumstances or request an informal review. The letter will also indicate that their name will be removed from the waiting list if they fail to respond within the time frame specified. The Schenectady Municipal Housing Authority's system of removing applicants' names from the waiting list will not violate the rights of persons with disabilities. If an applicant's failure to respond to a request for information or updates was caused by the applicant's disability, the Schenectady Municipal Housing Authority will provide a reasonable accommodation. If the applicant indicates that they did not respond due to a disability, the Schenectady Municipal Housing Authority will verify that there is in fact a disability and that the accommodation they are requesting is necessary based on the disability. An example of a reasonable accommodation would be to reinstate the applicant on the waiting list based on the date and time of the original application.

4.10 INFORMAL REVIEW

If the Schenectady Municipal Housing Authority determines that an applicant does not meet the criteria for receiving Section 8 assistance, the Schenectady Municipal Housing Authority will promptly provide the applicant with written notice of the determination. The notice must contain a brief statement of the reason(s) for the decision, and state that the applicant may request an informal review of the decision within 10 business days of the denial. The Schenectady Municipal Housing Authority will describe how to obtain the informal review. The informal review process is described in Section 16.2 of this Plan. The SMHA will not send written notifications to applicants being removed from the waiting list who have had prior letters returned to the SMHA by the United States Post Office due to the family no longer residing at the address.

5.0 SELECTING FAMILIES FROM THE WAITING LIST

5.1 WAITING LIST ADMISSIONS AND SPECIAL ADMISSIONS

The Housing Authority may admit an applicant for participation in the program either as a special admission or as a waiting list admission.

If HUD awards funding that is targeted for families with specific characteristics or families living in specific units, the Schenectady Municipal Housing Authority will use the assistance for those families.

5.2 PREFERENCES

The Schenectady Municipal Housing Authority Section 8 program will select families based on the following preferences. All applicants who are single head of households who are not elderly or disabled will be placed at the bottom of the waiting list and will receive a voucher after the elderly/disabled and multiple member households have received vouchers.

A. Applicants have a preference according to where they reside as follows:

First Priority: Applicants living within the Section 8 jurisdiction (City of Schenectady)

Second Priority: Applicants living outside the City of Schenectady, but in the New York State County of Schenectady.

Third Priority: Applicants living anywhere other than the City of Schenectady or County of Schenectady.

B. Job Market Participant: The term Job Market Participant applies only to the person listed on the application as the Head of Household (HOH). To qualify, the HOH must fall into at least one of the following categories:

- HOH now employed more than 15 hours/week
- HOH was recently employed, but is now receiving unemployment insurance.
- HOH is unable to work due to a disability, and is collecting SSI or SSD
- HOH is 62 years of age or older

C. Victims of Domestic Violence

- HOH is currently experiencing Domestic Violence (must meet HUD verification requirements)

D. Military Veterans

- HOH is a Veteran who has been Honorably Discharged from the United States Navy, Marines, Air Force, Army, Coast Guard or National Guard.

E. Singles Preference

- HOH is not a single non elderly/disabled family

5.3 SELECTION FROM THE WAITING LIST

Based on the above preferences, all families in preference A will receive two (2) preference points for First Priority status, one (1) preference point for Second Priority status, and zero (0) preference points for Third Priority status.

All families in preference B will receive one (1) preference point for meeting at least one of the listed categories.

All families in categories C, D and E will receive (1) preference point for meeting the listed criteria.

Families will be sequenced and selected from the waiting list according to the number of preference points they have. Applicants with more preference points will be selected before applicants with less preference points. The date and time of application will be utilized to determine the sequence within the above-prescribed preferences.

Notwithstanding the above, if necessary to meet the statutory requirement that 75% of newly admitted families in any fiscal year be families who are extremely low-income, the Schenectady Municipal Housing Authority retains the right to skip higher income families on the waiting to reach extremely low-income families. This measure will only be taken if it appears the goal will not otherwise be met. To ensure this goal is met, the Housing Authority will monitor incomes of newly admitted families and the income of the families on the waiting list.

If there are not enough extremely low-income families on the waiting list we will conduct outreach on a non-discriminatory basis to attract extremely low-income families to reach the statutory requirement.

PUBLIC HOUSING

There are five eligibility requirements for admission to public housing: qualifies as a family, has an income within the income limits, meets citizenship/eligible immigrant criteria, provides documentation of Social Security numbers, and signs consent authorization documents. In addition to the eligibility criteria, families must also meet the Schenectady Municipal Housing Authority screening criteria in order to be admitted to public housing.

Applicant families will be evaluated to determine whether, based on their recent behavior, such behavior could reasonably be expected to result in noncompliance with the public housing lease. The Schenectady Municipal Housing Authority will look at past conduct as an indicator of future conduct. Emphasis will be placed on whether a family's admission could reasonably be expected to have a detrimental effect on the development environment, other tenants, Schenectady Municipal Housing Authority employees, or other people residing in the immediate vicinity of the property. Otherwise eligible families will be denied admission if they fail to meet the suitability criteria.

If the Schenectady Municipal Housing Authority determines that an applicant does not meet the criteria for receiving public housing assistance, the Authority will promptly provide the applicant with written notice of the determination. The notice will contain a brief statement of the reason(s) for the decision and state that the applicant may request an Administrative Hearing of the decision within 10 business days of the denial.

The Schenectady Municipal Housing Authority will select families based on the following preferences within each bedroom size category:

- First Priority (2 preference points): Applicant will be given preference if the Head of Household maintains primary residence in the City of Schenectady, or is employed in the City of Schenectady.
- Second Priority (1 preference point): Applicants living outside the City of Schenectady but within the County of Schenectady.
- Third Priority (0 preference points): Applicants living anywhere other than the City of Schenectady or County of Schenectady.
- Job Market Participant (1 preference point): The term Job Market Participant applies only to the Head of Household. To qualify, the HOH must fall into a least one of the following categories: employed more than 15 hours/week; recently employed, but is now receiving unemployment insurance; enrolled in high school, or an accredited ABE/GED program, a vocational training program, is taking college courses (at least 12

credits/year), and if receiving Public Assistance is in good standing with DSS or SJTA; is unable to work due to a disability; is 62 years of age or older.

- Accessible Units: Accessible units will be first offered to families who may benefit from the accessible features. Applicants for these units will be selected utilizing the same preference system as outlined above. If there are no applicants who would benefit from the accessible features, the units will be offered to other applicants in the order that their names come to the top of the waiting list. Such applicants, however, must sign a release form stating they will accept a transfer (at their own expense) if, at a future time, a family requiring an accessible feature applies.

The waiting list will be maintained in accordance with the following guidelines:

- The application will be a permanent file;
- All applications will be electronically maintained in order according to bedroom size, preference, and then in order of date and time of application; and
- Any contacts between the Schenectady Municipal Housing Authority and the applicant will be documented in the applicant file.

The Schenectady Municipal Housing Authority will update and purge its waiting list at least annually to ensure that the pool of applicants reasonably represents interested families. Purging also enables the Housing Authority to update the information regarding address, family composition, income category and preferences.

The Schenectady Municipal Housing Authority will not remove an applicant's name from the waiting list unless:

- The applicant requests in writing that the name be removed;
- The applicant fails to respond to a written request for information or a request to declare their continued interest in the program; or
- The applicant does not meet either the eligibility or suitability criteria for the program;
- The applicant is accepted to the Public Housing program.

The complete Public Housing Admissions and Continued Occupancy Policy is available to the public upon request.

ADMISSIONS POLICY FOR DECONCENTRATION

According to 24 CFR 903.2, deconcentration of poverty and income mixing is promoted by a policy that provides for bringing higher income tenants into lower income developments and lower income tenants into higher income developments. Per the U.S. Department of Housing and Urban Development, the statutory requirement to design a policy to provide for deconcentration and income mixing is not to be construed to impose or require any specific income or racial quotas for any development or developments.

Public housing developments with fewer than 100 public housing units and public housing developments that house only elderly persons or persons with disabilities, or both, are not covered by this rule. Therefore, SMHA developments excluded are: Schonowee Village, Lincoln Heights, Ten Eyck (elderly persons or persons with disabilities), Maryvale Apartments and MacGathan Townhouses (fewer than 100 public housing units). Covered developments are: Yates Village and Steinmetz Homes.

SMHA will use this procedure to implement the deconcentration requirement:

1. Determine the average income of all families residing in all covered developments;
2. Determine the average income of all families residing in each separate covered development;
3. Determine whether each of its covered developments falls above, within or below the Established Income Range. The Established Income Range is from 85 to 115 percent (inclusive) of the average family income (the SMHA-wide average income for covered developments as defined in Step 1), except that the upper limit shall never be less than the income at which a family would be defined as an extremely low income family under 24 CFR 5.603(b);
4. For covered developments having average incomes outside the Established Income Range SMHA may explain or justify the income profile for these developments as being consistent with and furthering two sets of goals: the goals of deconcentration of poverty and income mixing as specified by the statute (bringing higher income tenants into lower income developments and vice versa); and the local goals and strategies contained in SMHA's Annual Plan;
5. Where the income profile for a covered development is not explained or justified in the Annual Plan submission, SMHA shall include in its admission policy its specific policy to provide for deconcentration of poverty and income mixing in applicable covered developments.

Financial Resources

Schenectady Municipal Housing Authority Statement of Financial Resources FY 2012

Financial Resources from Public Housing

Tenant Rental Income	\$3,011,983
NonDwelling Rental Income	38,286
Investment Income	8,464
Other Tenant Income	140,922
Other Income	170,458
Other Federal Grants	1,100,000
Capital Fund Grants	805,941
ROSS Grants	57,199
Congregate Housing Grants	98,340
Operating Grants	4,413,247
Total Public Housing Income	<u>9,844,840</u>

Financial Resources from Tenant Based Assistance

Housing Choice Voucher Assistance	8,912,504
HCV FSS Grant	47,830
Shelter Plus Care Grant	255,030
Moderate Rehabilitation Assistance	158,485
Investment Income	1,507
Other Income	172,767
Total Tenant Based Income	<u>9,548,123</u>

Combined Public Housing and Tenant Based Resources	<u><u>19,392,963</u></u>
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Rent Determination

A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units.

The Section 8 Housing Choice Voucher Program is proposing an amendment to its Administrative Plan, Section 11.6, Utility Allowance. The amended Section is listed below. Additions to the Sections are underlined and deleted parts are ~~lined through~~.

11.6 UTILITY ALLOWANCE

The Housing Authority maintains a utility allowance schedule for all tenant-paid utilities (except telephone), for cost of tenant-supplied refrigerators and ranges, and for other tenant-paid housing services (e.g., trash collection (disposal of waste and refuse)).

The utility allowance schedule is determined based on the typical cost of utilities and services paid by energy-conservative households that occupy housing of similar size and type in the same locality. In developing the schedule, the Housing Authority uses normal patterns of consumption for the community as a whole and current utility rates.

The Housing Authority reviews the utility allowance schedule annually and revises any allowance for a utility category if there has been a change of 10% or more in the utility rate since the last time the utility allowance schedule was revised.

The Housing Authority uses the appropriate utility allowance for the size of dwelling unit actually leased by the family (rather than the family unit size as determined under the Housing Authority subsidy standards).

At each reexamination, the Housing Authority applies the utility allowance from the most current utility allowance schedule.

The Housing Authority will approve a request for a utility allowance that is higher than the applicable amount on the utility allowance schedule if a higher utility allowance is needed as a reasonable accommodation to make the program accessible to and usable by the family member with a disability.

The utility allowance will be subtracted from the family's share to determine the amount of the Tenant Rent. The Tenant Rent is the amount the family owes each month

to the owner. The amount of the utility allowance is then still available to the family to pay the cost of their utilities. Any utility cost above the allowance is the responsibility of the tenant. ~~Any savings resulting from utility costs below the amount of the allowance belong to the tenant.~~

Where the rent calculation results in a Utility Reimbursement Payment due to the family, the HA will provide a Utility Reimbursement Payment each month directly to the utility supplier to pay the utility bill on behalf of the family. The Housing Authority will send the tenant notification of the amount paid to the utility supplier on their behalf. Whenever there is a change in the amount to be paid to the utility supplier, the tenant will be notified in writing of the new amount. The Housing Authority will only make payments on behalf of subsidized units.

The following process will be implemented when a family qualifies for a Utility Reimbursement Payment:

1. The family will provide the Housing Authority with a copy of their most recent utility bill;
2. The account number will be entered in the Housing Authority database;
3. Utility Reimbursement Payments will be made to the utility supplier using the account number provided by the family;
4. It is the family's responsibility to notify the Housing Authority regarding any changes to the utility supplier account.

Statement Of Existing Policies

PUBLIC HOUSING

The total tenant payment is equal to the highest of:

- A. 10% of monthly income;
- B. 30% of adjusted monthly income;
- C. Minimum Rent;
- D. The welfare rent.

The family will pay the greater of the total tenant payment or the minimum rent of \$25. The family may request a hardship exemption if paying a minimum rent.

The Schenectady Municipal Housing Authority has set a flat rent for each public housing unit. In doing so, it considered the size and type of the unit, as well as its condition, amenities, services, and neighborhood. The Schenectady Municipal Housing Authority determined the market value of the unit and set the rent at the market value. If the formula rent exceeds the market value flat rent, a family may choose to pay a formula lower flat rent.

SECTION 8

The total tenant payment is equal to the highest of:

- A. 10% of monthly income;
- B. 30% of adjusted monthly income;
- C. Minimum Rent;
- D. The welfare rent.

(Plus any rent above the payment standard.)

The complete Public Housing Admissions and Continued Occupancy Policy and Section 8 Administrative Plan is available to the public upon request.

Operation and Management

A statement of the rules, standards, and policies of the PHA governing maintenance management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA.

MAINTENANCE MANAGEMENT

A Maintenance Management Plan has been adopted for all housing owned and operated by the Schenectady Municipal Housing Authority. The plan was developed from HUD's PIH Maintenance Guidebooks, PIH 95-66.

The Maintenance Management Plan includes the following areas of maintenance operations, and the complete Plan is available to the public upon request:

- Maintenance Program
- Inspection Program
- Pavement Maintenance
- Landscape and general Grounds Maintenance
- Roof and Waterproofing Maintenance
- Painting Maintenance
- Termite, Insect and Rodent Control

The Schenectady Municipal Housing Authority has adopted Integrated Pest Management procedures (IPM) for the prevention and eradication of infestation, and requires contracted pest control companies to follow IPM procedures. Our objective is to manage pest control by the most economical means, and with the least possible hazard to people, property, and the environment. Our Project Managers are responsible for monitoring, record keeping, educating residents and staff, and maintaining good communication between residents regarding pest control.

Our IPM process starts with determining the kind of pests we have and where they are coming from. We then find what is attracting them and remedy the situation by making sure living areas are clean and uncluttered, food is properly stored, trash is properly stored,

plumbing or water leaks are repaired, and entry points into apartments and buildings are sealed with pest-proof materials. If necessary, we then proceed to use traps and baits first, along with less-toxic materials.

PROGRAM MANAGEMENT

The Schenectady Municipal Housing Authority operates the following programs:

- Capital Fund Program
- Capital Fund American Recovery & Reinvestment Act
- Low Income Public Housing
- Public Housing Family Self Sufficiency Program
- Section 8 Housing Choice Voucher (HCV) Program
- Section 8 HCV Family Self-Sufficiency Program
- Shelter Plus Care Program
- Congregate Housing Services Program
- Moderate Rehabilitation Assistance Program

Capital Fund Program

The Capital Fund provides funds, annually, to SMHA for the development, financing, and modernization of public housing developments and for management improvements. For more information on how the funds are allocated, please refer to the section of this document that contains the 'Capital Fund Program Annual Statement/Performance and Evaluation Report' and the 'Capital Fund Program Five-Year Action Plan.'

Capital Fund American Recovery & Reinvestment Act

The Schenectady Municipal Housing Authority has received a \$2,065,031 formula grant to utilize toward its capital needs backlog as contained in its Five-Year Action Plan. The Schenectady Municipal Housing Authority also received a \$2,517,500 competitive grant that will be used for energy related capital needs at Ten Eyck Apartments, Schonowee Village Apartments and Lincoln Heights Apartments.

Low Income Public Housing

Public housing was established to provide decent and safe rental housing for eligible low-income families, the elderly, and persons with disabilities. The Schenectady Municipal Housing Authority operates three Asset management Projects that consist of seven developments:

- Downtown Asset Management Project
 - o Ten Eyck Apartments
 - o Schonowee Village Apartments
 - o Lincoln Heights Apartments

- Eastside Asset Management Project
 - o Maryvale Apartments
 - o MacGathan Townhouses
 - o Steinmetz Homes
- Yates Village Asset Management Project
 - o Yates Village Apartments

Public Housing Family Self Sufficiency Program

The Schenectady Municipal Housing Authority operates a Family Self Sufficiency Program for Public Housing residents only. The program is structured to enable participating families to increase earned income, reduce or eliminate the need for welfare assistance, and make progress toward achieving economic independence and housing self-sufficiency.

Section 8 Housing Choice Voucher Program

The Section 8 Housing Choice Voucher Program is HUD's major program for assisting very low-income families, the elderly, and the disabled to afford decent, safe, and sanitary housing in the private market. The participant is free to choose any housing that meets the requirements of the program. Participants may choose a unit anywhere in the United States if the family lived in the City of Schenectady when the family applied for assistance. Those new voucher-holders not living in the City of Schenectady at the time the family applied for housing assistance must initially lease an apartment within the City of Schenectady for the first twelve months of assistance.

Section 8 HCV Family Self-Sufficiency Program

The HCV Family Self-Sufficiency Program assists Section 8 families with obtaining employment that will lead to economic independence and self-sufficiency. A contract is executed between SMHA and the Section 8 family that specifies goals and services for each family. Family members must fulfill all requirements in order to obtain full benefits. The contract requires that the family comply with the lease, that all family members become independent of welfare, and that the head of the family seek and maintain suitable employment.

Shelter Plus Care Program

The Shelter Plus Care Program provides rental assistance for hard-to-serve homeless persons with disabilities in connection with supportive services funded from sources outside the program.

Congregate Housing Services Program

This program prevents premature and unnecessary institutionalization of the frail elderly, nonelderly disabled, and temporarily disabled persons. SMHA's program provides for weekend meals and nonmedical supportive services such as apartment cleaning, transportation to medical appointments, food shopping and assists with many other daily living activities.

Moderate Rehabilitation Assistance Program

The Schenectady Municipal Housing Authority operates a Single Room Occupancy Moderate Rehabilitation Program consisting of 41 participants. Project-based rental assistance is provided for low income families at the Schenectady YMCA.

All policies and procedures that govern our program operations are available to the public upon request.

Grievance Procedures

A description of the grievance and informal hearing and review procedures that SMHA makes available to its residents and applicants.

PUBLIC HOUSING GRIEVANCE PROCEDURE

I. Definitions applicable to the grievance procedure: (§ 966.53)

- A. Grievance: Any dispute a Tenant may have with respect to SMHA action or failure to act in accordance with the individual Tenant's lease or SMHA regulations that adversely affects the individual Tenant's rights, duties, welfare or status.
- B. Complainant: Any Tenant (as defined below) whose grievance is presented to the SMHA (at the central office or the development office) in accordance with the requirements presented in this procedure.
- C. Elements of due process: An eviction action or a termination of tenancy in a State or local court in which the following procedural safeguards are required:
 - 1. Adequate notice to the Tenant of the grounds for terminating the tenancy and for eviction;
 - 2. Right of the Tenant to be represented by counsel;
 - 3. Opportunity for the Tenant to refute the evidence presented by the SMHA, including the right to confront and cross examine witnesses and to present any affirmative legal or equitable defense which the Tenant may have;
 - 4. A decision on the merits of the case.
- D. Hearing Officer: A person selected in accordance with **24 CFR § 966.55** and this procedure to hear grievances and render a decision with respect thereto.
- E. Hearing Panel: A three member panel selected in accordance with **24 CFR § 966.55** and this procedure to hear grievances and render a decision with respect thereto.
- F. Tenant: The adult person (or persons other than a Live-in aide): (1) Who resides in the unit, and who executed the lease with the SMHA as lessee of the dwelling unit, or, if no such person now resides in the unit, (2) Who resides in the unit, and who is the remaining head of the household of the Tenant family residing in the dwelling unit.

- G. Resident Organization: An organization of residents, which also may include a resident management corporation.

II. Applicability of this grievance procedure (966.51)

In accordance with the applicable Federal regulations (**24 CFR § 966.50**) this grievance procedure shall be applicable to all individual grievances (as defined in Section I above) between Tenant and the SMHA with the following exception:

- A. The SMHA grievance procedure shall not be applicable to disputes between Tenants not involving the SMHA or to class grievances. The grievance procedure is not intended as a forum for initiating or negotiating policy changes between a group or groups of Tenants and the SMHA's Board of Commissioners. **[966.51 (b)]**

This grievance procedure is incorporated by reference in all Tenant dwelling leases and will be furnished to each Tenant and all resident organizations. **[966.52 (b) and (d)]**

Any changes proposed in this grievance procedure must provide for at least 30 days notice to Tenants and Resident Organizations, setting forth the proposed changes and providing an opportunity to present written comments. Comments submitted shall be considered by the SMHA before any revisions are made to the grievance procedure. **[966.52 (c)]**

III. Informal settlement of a grievance [966.54]

Any grievance must be personally presented, either orally or in writing, to the SMHA's central office or the management office of the development in which the complainant resides **within ten days after the grievable event.**

Grievances related to complaints about operational matters that are received by the SMHA's central office will be referred to the person responsible for the management of the development in which the complainant resides. Grievances involving complaints related to discrimination, harassment, or disability rights will be referred to the Civil Rights Administrator and/or Executive Director.

As soon as the grievance is received, it will be reviewed by the management office of the development or the Civil Rights Administrator (if applicable) to be certain that neither of the exclusions in paragraphs II.A or II.B above applies to the grievance. Should one of the exclusions apply, the complainant will be notified in writing that the matter raised is not subject to the SMHA's grievance procedure, with the reason thereof.

If neither of the exclusions cited above apply, the complainant will be contacted to arrange a mutually convenient time **within ten working days** to meet so the grievance may be discussed informally and settled without a formal grievance hearing. At the informal hearing the complainant will present the grievance and the person in charge of the management office or

the Civil Rights Administrator will attempt to settle the grievance to the satisfaction of both parties.

Within fourteen days following the informal discussion, the SMHA shall prepare and either hand deliver or mail to Tenant a summary of the discussion that must specify the names of the participants, the dates of meeting, the nature of the proposed disposition of the complaint and the specific reasons thereof, and shall specify the procedures by which a formal hearing under this procedure may be obtained if the complainant is not satisfied. A copy of this summary shall also be placed in Tenant's file. A receipt signed by the complainant or a return receipt for delivery of certified mail, whether or not signed, will be sufficient proof of time of delivery for the summary of the informal discussion. **[966.55 (a)]**

IV. Formal Grievance Hearing

If the complainant is dissatisfied with the settlement arrived at in the informal hearing, the complainant must submit a written request for a formal grievance hearing to the management office of the development where Tenant resides **no later than five working days after the summary of the informal hearing is received.**

The written request shall specify:

The reasons for the grievance;

The action of relief sought from the SMHA; and

Several dates and times when the complainant can attend a grievance hearing.

If the complainant requests a hearing in a timely manner, SMHA shall schedule a hearing on the grievance at the earliest time possible for the complainant, SMHA and the hearing officer or hearing panel. The hearing shall be scheduled promptly for a time and place reasonably convenient to both the complainant and SMHA. A written notification specifying the time, place and the procedures governing the hearing shall be delivered to the complainant and the appropriate SMHA official.

If the complainant fails to request a hearing within five working days after receiving the summary of the informal hearing, the SMHA's decision rendered at the informal hearing becomes final and the SMHA is not obligated to offer the complainant a formal hearing unless the complainant can show good cause why he failed to proceed in accordance with this procedure. **[966.55 (c) and (d)]**

Failure to request a grievance hearing does not affect the complainant's right to contest the SMHA's decision in a court hearing. **[966-54 (c)]**

V. Selecting the Hearing Officer or Hearing Panel [966.55 (b)(2)(ii)]

A grievance hearing shall be conducted by an impartial person or persons appointed by the SMHA after consultation with resident organizations, as described below:

- A. The SMHA shall nominate a slate of impartial persons to sit as hearing officers or hearing panel members.

The SMHA will check with each nominee to determine whether there is an interest in serving as a hearing officer or panel member, whether the nominee feels fully capable of impartiality, whether the nominee can serve without compensation, and what limitations on the nominee's time would affect such service.

Nominees will be informed that they will be expected to disqualify themselves from hearing grievances that involve personal friends, other residents of developments in which they work or reside, or grievances in which they have some personal interest.

Nominees who are not interested in serving as hearing officers or whose time is too limited to make service practical will be withdrawn and other names will be substituted.

- B. A slate of potential hearing officers or hearing panel members nominated by the SMHA shall be submitted to the SMHA's Resident Organizations. Written comments from the organizations shall be considered by the SMHA before the nominees are appointed as hearing officers or panel members.
- C. When the comments from Resident Organizations have been received and considered, the nominees will be informed that they are the SMHA's official grievance hearing committee. SMHA will subsequently contact committee members in random order to request their participation as hearing panel members or hearing officers.

VI. Escrow deposit required for a hearing involving rent [966.55 (e)]

Before a hearing is scheduled in any grievance involving the amount of rent which the SMHA claims is due under this lease, the complainant shall pay to the SMHA an amount equal to the rent due and payable as of the first of the month preceding the month in which the act or failure to act took place. The complainant shall, thereafter, deposit the same amount of the monthly rent in an escrow account monthly until the complaint is resolved by decision of the hearing officer or hearing panel.

This requirement will not be waived by the SMHA unless the complainant is paying minimum rent and the grievance is based on a request for a hardship exemption or the Tenant's welfare benefits have been reduced for welfare fraud or failure to comply with economic self sufficiency requirements. **In these cases only**, rent need not be escrowed.

VII. Scheduling hearings [966.55 (f)]

When a complainant submits a timely request for a grievance hearing, the SMHA will immediately contact hearing panel members or hearing officers in random order to request their participation until one is available on the date and at the time arranged.

Once the hearing panel or hearing officer have agreed upon the hearing date and time, the complainant, the manager of the development in which the complainant resides, and hearing panel members or officer shall be notified in writing. Notice to the complainant shall be in writing, either personally delivered to complainant or sent by mail, return receipt requested.

The written notice will specify the time, place and procedures governing the hearing.

VIII. Procedures governing the hearing [966.56]

The hearing shall be held before a hearing panel or hearing officer as described above in Section VII. The complainant shall be afforded a fair hearing, which shall include:

- A. The opportunity to examine before the hearing any SMHA documents, including records and regulations, that are directly relevant to the hearing.
The Tenant shall be allowed to copy any such document at the Tenant's expense. If the SMHA does not make the document available for examination upon request by the complainant, the SMHA may not rely on such document at the grievance hearing.

- B. The right to be represented by counsel or other person chosen as the Tenant's representative and to have such person make statements on the Tenant's behalf.

The right to a private hearing unless the complainant requests a public hearing. The right to present evidence and arguments in support of the Tenant's complaint to controvert evidence relied on by the SMHA or project management, and to confront and cross examine all witnesses upon whose testimony or information the SMHA or project management relies; and

- C. A decision based solely and exclusively upon the fact presented at the hearing. **[966-56(b)]**

The hearing panel or officer may render a decision without proceeding with the hearing if they determine that the issue has been previously decided in another proceeding. **[966-56 (c)]**

At the hearing, the complainant must first make a showing of an entitlement to the relief sought and, thereafter, the SMHA must sustain the burden of justifying the SMHA action or failure to act against which the complaint is directed. **[966.56 (e)]**

The hearing shall be conducted informally by the hearing panel or officer. Oral or documentary evidence pertinent to the facts and issues raised by the complaint may be received without regard to admissibility under the rules of evidence applicable to judicial proceedings. **[966.56 (f)]**

The hearing panel or officer shall require the SMHA, the complainant, counsel and other participants or spectators to conduct themselves in an orderly fashion. Failure to comply with the directions of the hearing panel or officer to obtain order may result in exclusion from the

proceedings or in a decision adverse to the interests of the disorderly party and granting or denial of the relief sought, as appropriate. **[966.56 (f)]**

The complainant or the SMHA may arrange in advance, at expense of the party making the arrangement, for a transcript of the hearing. Any interested party may purchase a copy of such transcript. **[966.56 (g)]**

The SMHA must provide reasonable accommodation for persons with disabilities to participate in the hearing. Reasonable accommodation may include qualified sign language interpreters, readers, accessible locations, or attendants. If the Tenant is visually impaired, any notice to the Tenant which is required under this procedure must be in an accessible format. **[966.56 (h)]**

If a hearing panel member or officer fails to disqualify himself/herself as required in Section V.A., the SMHA will remove the panel member or officer from the hearing committee, invalidate the results of the hearing and schedule a new hearing with a new hearing panel or officer.

IX. Failure to appear at the hearing

If the complainant or the SMHA fails to appear at the scheduled hearing, the hearing panel or officer may make a determination to postpone the hearing **for not to exceed five business days**, or may make a determination that the party has waived his right to a hearing. **[966.56 (d)]**

Both the complainant and the SMHA shall be notified of the determination by the hearing panel or officer; provided, that a determination that the complainant has waived his right to a hearing shall not constitute a waiver of any right the complainant may have to contest the SMHA's disposition of the grievance in court. **[966.56 (d)]**

X. Decision of the hearing panel or officer [966.57]

The hearing panel or officer shall prepare a written decision, together with the reasons for the decision a reasonable time after the hearing. A copy of the decision shall be sent to the complainant and the SMHA.

The SMHA shall retain a copy of the decision in the Tenant's folder. A copy of the decision with all names and identifying references deleted shall also be maintained on file by the SMHA and made available for inspection by a prospective complainant, his representative, or the hearing panel or officer.

The decision of the hearing panel or officer shall be binding on the SMHA, which shall take all actions, or refrain from any actions, necessary to carry out the decision unless the SMHA's Board of Commissioners determines within ten working days, and promptly notifies the complainant of its determination that:

A. The grievance does not concern SMHA action or failure to act in accordance with or involving the complainant's lease or SMHA regulations, which adversely affect the complainant's rights, duties, welfare or status.

B. The decision of the hearing panel or officer is contrary to applicable Federal, State or local law, HUD regulations, or requirements of the annual contributions contract between HUD and the SMHA.

C. A decision by the hearing panel or officer or Board of Commissioners in favor of the SMHA or which denies the relief requested by the complainant in whole or in part shall not constitute a waiver of, nor affect in any way, the rights of the complainant to a trial or judicial review in any court proceedings which may be brought in the matter later. **[966.57]**

Designated Housing for Elderly & Disabled Families

With respect to public housing projects owned, assisted, or operated by the PHA, describe any projects (or portions thereof), in the upcoming fiscal year, that the PHA has designated or will apply for designation for occupancy by elderly and disabled families. The description shall include the following information: **1)** development name and number; **2)** designation type; **3)** application status; **4)** date the designation was approved, submitted, or planned for submission, and; **5)** the number of units affected.

1) Development Name and Number

- Ten Eyck Apartments
- NY028000110 (Downtown AMP)

2) Designation Type

- Elderly Families Only

3) Application Status

- New Designated Housing Plan Proposal is under development.

4) Date the Designation was Approved, Submitted, or Planned for Submission

- Planned for submission: FY2012.

5) The Number of Units Affected

- 97

Community Service and Self-Sufficiency

A description of: (1) Any programs relating to services and amenities provided or offered to assisted families; (2) Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS; (3) How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. (Note: applies to only public housing).

(1) Any programs relating to services and amenities provided or offered to assisted families.

Congregate Housing Services Program

This program prevents premature and unnecessary institutionalization of the frail elderly, nonelderly disabled, and temporarily disabled persons. SMHA's program provides for weekend meals and nonmedical supportive services such as apartment cleaning, transportation to medical appointments, food shopping and assists with many other daily living activities.

Elderly/Disabled Services Coordinator

Through a program titled 'Services Unlimited,' SMHA's Service Coordinator obtains supportive services for the elderly and persons with disabilities who reside in public housing. The program's objective is to help this resident population continue to live in place, independently, without having to move to more expensive assisted care environments. The Service Coordinator is responsible for working with community service providers to tailor services to the needs of eligible residents, and to evaluate service delivery and outcomes.

(2) Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS.

Resident Opportunity & Self Sufficiency Grants

The Schenectady Municipal Housing Authority operates a Public Housing Family Self Sufficiency Program that serves up to 50 participants. Family self-sufficiency is a HUD program designed to help families obtain employment that will lead to economic independence and self-sufficiency. Our service programs are structured to enable participating families to increase earned income, reduce or eliminate the need for welfare assistance, and make progress toward achieving economic independence and housing self-sufficiency. SMHA's Neighborhood Networks centers provide access to computers, computer training, the Internet, GED classes

through the Schenectady City School District, and youth training through the Boys & Girls Clubs of Schenectady.

(3) How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements.

The Schenectady Municipal Housing Authority's policy language outlining the community service requirements:

COMMUNITY SERVICE AND SELF SUFFICIENCY POLICY

A) Background

The Quality Housing and Work Responsibility Act of 1998 requires that all non-exempt (see definitions) public housing adult residents (18 or older) contribute eight (8) hours per month of community service (volunteer work) or participate in eight (8) hours of training, counseling, classes or other activities that help an individual toward self sufficiency and economic independence. This is a requirement of the Public Housing Lease.

B) Definitions

Community Service - volunteer work which includes, but is not limited to:

- Work at a local institution including but not limited to: school, child care center, hospital, hospice, recreation center, senior center, adult day care center, homeless shelter, indigent feeding program, cooperative food bank, etc.;
- Work with a non-profit organization that serves SMHA residents or their children such as: Boy Scouts, Girl Scouts, Boys & Girls Clubs, 4-H program, PAL, Community Gardens, community cleanup programs, beautification programs, other youth or senior organizations;
- Work at SMHA to help improve physical conditions;
- Work at SMHA to help with children's programs;
- Work at SMHA to help with senior programs;
- Helping neighborhood groups with special projects;
- Working through resident organization to help other residents with problems, serving as an officer in a Resident organization, serving on the Resident Advisory Board; and
- Caring for the children of other residents so they may volunteer.

NOTE: **Political activity is excluded.**

Self Sufficiency Activities - activities that include, but are not limited to:

- Job readiness programs;
- Job training programs;
- GED classes;
- Substance abuse or mental health counseling;
- English proficiency or literacy (reading) classes;
- Apprenticeships;
- Budgeting and credit counseling;

- Any kind of class that helps a person toward economic independence; and
- Full time student status at any school, college or vocational school.

Exempt Adult - an adult member of the family who

- Is 62 years of age or older;
- Has a disability that prevents him/her from being gainfully employed;
- Is the caretaker of a disabled person;
- Is working at least 30 hours per week; or
- Is participating in a welfare-to-work program.

C) Requirements of the Program

1. The eight (8) hours per month may be either volunteer work or self sufficiency program activity, or a combination of the two.
2. At least eight (8) hours of activity must be performed each month. An individual may not skip a month and then double up the following month, unless special circumstances warrant special consideration. SMHA will make the determination of whether to allow or disallow a deviation from the schedule.
3. Activities must be performed within the community and not outside the jurisdictional area of SMHA.
4. Family obligations:
 - At lease execution or re-examination after February 1, 2000, all adult members (18 or older) of a public housing resident family must:
 - a. provide documentation that they are exempt from Community Service requirement if they qualify for an exemption, and
 - b. sign a certification that they have received and read this policy and understand that if they are not exempt, failure to comply with the Community Service requirement will result in nonrenewal of their lease.
 - At each annual re-examination, non-exempt family members must present a completed documentation form (to be provided by SMHA) of activities performed over the previous twelve (12) months. This form will include places for signatures of supervisors, instructors, or counselors certifying to the number of hours contributed.
 - If a family member is found to be noncompliant at re-examination, he/she and the Head of Household will sign an agreement with SMHA to make up the deficient hours over the next twelve (12) month period.
5. Change in exempt status:
 - If, during the twelve (12) month period, a non-exempt person becomes exempt, it is his/her responsibility to report this to SMHA and provide documentation of such.
 - If, during the twelve (12) month period, an exempt person becomes non-exempt, it is his/her responsibility to report this to SMHA. SMHA will provide the person with the Recording/Certification documentation form and a list of agencies in the community that provide volunteer and/or training opportunities.

D) SMHA obligations

1. To the greatest extent possible and practicable, SMHA will:
 - Provide names and contacts at agencies that can provide opportunities for residents, including disabled, to fulfill their Community Service obligations. (*According to the Quality Housing and Work Responsibility Act, a disabled person who is otherwise able to be gainfully employed is not necessarily exempt from the Community Service requirement*); and
 - Provide in-house opportunities for volunteer work or self sufficiency programs.
2. SMHA will provide the family with exemption verification forms and Recording/Certification documentation forms and a copy of this policy at initial application and at lease execution.
3. SMHA will make the final determination as to whether or not a family member is exempt from the Community Service requirement. Residents may use SMHA's Grievance Procedure if they disagree with SMHA's determination.
4. Noncompliance of family member:
 - At least thirty (30) days prior to annual re-examination and/or lease expiration, SMHA will begin reviewing the exempt or non-exempt status and compliance of family members;
 - If SMHA finds a family member to be noncompliant, SMHA will enter into an agreement with the noncompliant member and the Head of Household to make up the deficient hours over the next twelve (12) month period;
 - If, at the next annual re-examination, the family member still is not compliant, the lease will not be renewed and the entire family will have to vacate, unless the noncompliant member agrees to move out of the unit;
 - The family may use SMHA's Grievance Procedure to protest the lease termination.

Safety and Crime Prevention

For public housing only, describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must include: (i) A description of the need for measures to ensure the safety of public housing residents; (ii) A description of any crime prevention activities conducted or to be conducted by the PHA; and (iii) A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities.

(i) A description of the need for measures to ensure the safety of public housing residents.

Just as drug and violent crime is creeping into every neighborhood in the City of Schenectady, we too experience violent crime and drug crime in Public Housing developments. When HUD eliminated the Public Housing Drug Elimination Program funding in 2001, SMHA lost about \$250,000 a year that was budgeted toward crime and drug prevention programs and security initiatives. We continue to fund a part-time Tenant Investigator, a Security Coordinator, a Security Guard Service Contract, and contracted Schenectady Police Officer patrols as needed.

(ii) A description of any crime prevention activities conducted or to be conducted by the PHA

SECURITY COORDINATOR

A contracted Security Coordinator oversees all aspects of SMHA's security programs. Security Coordinator Contract Objectives:

- Provide coordination between SMHA personnel/resident leaders, and law enforcement agencies including the Schenectady Police Department (SPD), Schenectady County Sheriff's Department, New York State Police, and, when appropriate, Schenectady County District Attorney's Office and Federal Law Enforcement Agencies, to properly address criminal conduct on Public Housing property;
- Improve communication between SMHA residents and the SPD regarding criminal conduct;
- Assess and improve upon physical facilities safety to ensure the utmost security and safety for SMHA staff and residents;

- Augment law enforcement patrols with a strategic deployment plan for property-focused patrols.

SECURITY GUARD SERVICE

SMHA contracts with a Security Guard Service for protection of three SMHA public housing apartment complexes and the residents of these complexes located in downtown Schenectady. The apartment complexes are: Ten Eyck Apartments (approx. 98 occupied units), Lincoln Heights (approx. 105 occupied units), Schonowee Village (approx. 242 occupied units). A uniformed and New York State certified security guard tours the entire facility on foot, documents findings, maintains daily activity log sheets, incident reports, and other records. Upon discovery of any criminal or suspicious act, or upon fire detection or emergency situations, the security guard promptly notifies the proper Law Enforcement Agency or Fire Department.

TENANT INVESTIGATOR

SMHA employs a Tenant Investigator to work directly with Project Managers, Occupancy Specialists and other SMHA staff. Summary of responsibilities:

- Follow up on all credible complaints by tenants alleging possible lease violations by other tenants.
- After investigating possible lease violation hold Administrative Conference with offending tenant, leading to exoneration, vacating apartment in lieu of eviction, or action to seek eviction.
- Keep complete case records of each complaint or situation, including the disposition of the case.
- Prepare files and records for SMHA Counsel's use in prosecuting a charge(s) leading to eviction.

UNIFORMED CONTRACTED POLICE PATROLS

Uniformed off-duty police officer patrol public housing property on an as-needed basis. They perform such activity as:

- Check for parking violations
- 911 hang-up response
- Disburse loitering of large and small groups
- Advise tenants against lease violation activity
- Check unsecured areas
- Vehicle moving violations
- Walking the beat and communicating with residents

CCTV

A major component of SMHA's crime prevention strategy is the installation of closed circuit television cameras on public housing property. The Housing Authority has installed several internal and external cameras at three of its properties, and we are currently meeting with Schenectady County to expand their existing Public Safety Camera Project to our public housing developments.

(iii) A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities

The Schenectady Police Chief Michael Chaires, Assistant Chiefs and patrol officers communicate constantly with the Executive Director, SMHA security staff and Project Managers during the criminal investigations strategy development, and have developed a close working relationship. SMHA personnel attend Office of Field Intelligence meetings on a monthly basis (an invitation only, confidential meeting with all levels of law enforcement) where information is exchanged on drug activity and crime in Public Housing and the City.

The Schenectady County Sheriff department assists SMHA with its public housing applicant screening process through fingerprinting and FBI criminal background check services. If a criminal record is detected by the Sheriff, SMHA pays a fee to initiate a thorough background of national FBI criminal records.

To ensure compliance with the HUD requirement to restrict sex offenders from public housing who have a lifetime registration requirement, SMHA's Security Coordinator gathers data on registered offenders through the local police department, and every applicants is checked at the New York State Department of Criminal Justice on-line sex offender database, and the sex offender database of any State where an applicant previously resided.

Pets

A statement describing the PHAs policies and requirements pertaining to the ownership of pets in public housing

PET OWNERSHIP POLICY

1) Introduction

In accordance with HUD regulations, SMHA will attempt to accommodate pet owning applicants and Tenants according to our eligibility, selection, admissions and pet ownership policies. In order to be registered, pets must be appropriately inoculated against rabies, distemper and other conditions prescribed by state and/or local ordinances. They must comply with all other state and local public health, animal control, and anti-cruelty laws including any licensing requirements; valid license must be filed with SMHA. A certification signed by a licensed veterinarian or state or local official shall be annually filed with SMHA to attest to the inoculations.

2) Assistive Animals

This policy does not apply to service animals, support animals, assistance animals, or therapy animals that are used to assist persons with disabilities. These animals are allowed in all public housing facilities with no restrictions other than those imposed on all tenants to maintain their units and associated facilities in a decent, safe, and sanitary manner and to refrain from disturbing their neighbors. The person requesting this exclusion to the Pet Policy of this housing authority must have a disability and the accommodation must be necessary to afford the person with a disability an equal opportunity to use and enjoy a dwelling.

To show that a requested accommodation may be necessary, there must be an identifiable relationship, or nexus, between the requested accommodation and the person's disability. The Schenectady Municipal Housing Authority will verify the existence of the disability, and the need for the accommodation— if either is not readily apparent. Accordingly, persons who are seeking a reasonable accommodation for an emotional support animal will be required to provide documentation from a physician, psychiatrist, social worker, or other mental health professional that the animal provides support that alleviates at least one of the identified symptoms or effects of the existing disability.

In addition, the Schenectady Municipal Housing Authority is not required to provide any reasonable accommodation that would pose a direct threat to the health or safety of others. Thus, if the particular animal requested by the individual with a disability has a

history of dangerous behavior, we will not accept the animal into our housing. Moreover, we are not required to make a reasonable accommodation if the presence of the assistance animal would (1) result in substantial physical damage to the property of others unless the threat can be eliminated or significantly reduced by a reasonable accommodation; (2) pose an undue financial and administrative burden; or (3) fundamentally alter the nature of the provider's operations.

3) Pet Defined

SMHA will allow only common household pets. This means only domesticated animals such as a dog, cat, bird, caged rodent or fish in aquariums will be allowed in units. Common household pets do not include reptiles. If this definition conflicts with a state or local law or regulation, the state or local law or regulation shall govern.

Commercial breeding of any animal is prohibited.

All dogs and cats must be spayed or neutered before they become six months old. A licensed veterinarian must verify this fact.

4) Approval

Residents must have the prior written approval of SMHA before moving a pet into their unit. Residents must request approval on the Authorization for Pet Ownership Form that must be fully completed before SMHA will approve the request. Residents must give SMHA a picture of the pet so it can be identified.

5) Pet Deposit

A pet deposit of **\$100.00** is required at the time of registering a pet. The deposit is refundable when the pet or the family vacates the unit, less any amounts owed due to damage beyond normal wear and tear. If more than one pet is approved, a separate deposit is required for each pet. The deposit must be paid in full in advance of bringing a pet into an apartment.

6) Designated Prohibited Areas

Pets must be kept in the owner's apartment or on a leash at all times when outside the unit (no outdoor cages may be constructed). Pets will be allowed only in designated areas on the grounds of the property if SMHA designates a pet area for the particular site. Pet owners must clean up after their pets and are responsible for disposing of pet waste.

With the exception of approved assistive animals, no pets shall be allowed in community rooms, community room kitchens, laundry rooms, public bathrooms, lobbies, hallways, playgrounds or offices in any of our sites.

To accommodate residents who have medically certified allergic or phobic reactions to dogs, cats, or other pets, those pets may be barred from certain wings (or floors) in our development(s)/(building(s)). This shall be implemented based on demand for this service.

7) Requirements Placed on Pet Owners

Only one (1) pet per apartment is allowed at any time unless permission is granted for additional pets by SMHA. Any request for additional pets shall be in writing stating the special conditions that exist to justify keeping more than one pet.

In order to be registered, pets must be appropriately inoculated against rabies, distemper and other conditions prescribed by state and/or local ordinances. They must comply with all other state and local public health, animal control, and anti-cruelty laws including any licensing requirements; valid license must be filed with SMHA. A certification signed by a licensed veterinarian or state or local official shall be annually filed with SMHA to attest to the inoculations.

At SMHA's request, a Tenant shall provide a statement from their physician verifying Tenant's ability to care for a pet.

Tenants owning a cat shall provide in the apartment a litter tray for the animal's use. Waste is to be separated daily, placed in a properly wrapped, non-absorbent bag and properly disposed of. Cat litter shall be changed frequently to avoid unsanitary conditions. Under no circumstances shall cat litter be flushed down any toilet or other household drain.

Any Tenant who owns or keeps a pet in their dwelling unit will be required to pay for any damages caused by the pet. Also, any pet-related insect infestation in the pet owner's unit will be the financial responsibility of the pet owner and SMHA reserves the right to exterminate and charge the resident.

A pet owner shall physically control or confine his/her pet during the times when SMHA employees, agents of SMHA or others must enter the pet owner's apartment to conduct business, provide services, enforce lease terms, etc.

If a pet causes harm to any person, the pet's owner shall be required to permanently remove the pet from SMHA's property within 24 hours of written notice from SMHA. The pet owner may also be subject to termination of his/her dwelling lease.

A pet owner who violated any other conditions of this policy may be required to remove his/her pet from the development within 10 days of written notice from SMHA. The pet owner may also be subject to termination of his/her dwelling lease.

SMHA's grievance procedures shall be applicable to all individual grievances or disputes arising out of violations or alleged violations of this policy.

The pet and its living quarters must be maintained in a manner to prevent odors and any other unsanitary conditions in the owner's unit and surrounding areas.

Repeated substantiated complaints by neighbors or SMHA personnel regarding pets disturbing the peace of neighbors through noise, odor, animal waste, or other nuisance may result in the owner having to remove the pet or move him/herself.

Pets that make noise continuously, including but not limited to barking, and/or incessantly for a period of 10 minutes or intermittently for one half hour or more to the disturbance of any person at any time of day or night shall be considered a nuisance.

8) Restrictions on Certain Pets

The keeping of snakes or any other reptiles is prohibited.

Any animal deemed to be potentially harmful or dangerous to the health or safety of others, including but not limited to attack or fight trained dogs, is prohibited.

Dogs weighing more than twenty (20) pounds at maturity are prohibited. SMHA shall not be responsible for forecasting the weight of a dog that is not full grown. If a growing dog weighing 20 pounds or less is approved by SMHA, and the dog matures to a weight greater than 20 pounds, the dog will be in the prohibited weight class and must be removed from SMHA property.

Fish tanks in excess of ten (10) gallons are prohibited.

9) Removal of Pets

SMHA, or an appropriate community authority, shall require the removal of any pet from an apartment or other SMHA property if the pet's conduct or condition is determined to be a nuisance or threat to the health or safety of other occupants of the property or of other persons in the community where the project is located, including SMHA staff and Contractors, or if the health and safety of the pet is at risk.

In the event of illness or death of pet owner, or in the case of an emergency which would prevent the pet owner from properly caring for the pet, SMHA has permission to call the emergency caregiver designated by the resident or the local Pet Law Enforcement Agency to take the pet and care for it until family or friends can claim the pet and assume responsibility for it. Any expenses incurred will be the responsibility of the original pet owner, or the new pet owner.

Civil Rights Certification

Civil Rights Certification form HUD-50077-CR was executed by the Chair of the Schenectady Municipal Housing Authority Board of Commissioners, and is filed with this report as a separate attachment, and send by electronic mail to the Buffalo HUD Field Office.

Fiscal Year Audit

The results of the most recent fiscal year audit for SMHA.

The most recent audit is for the period ended March 31, 2010.

RESULTS:

Financial Statements: No reportable findings

Major Federal Award Programs: No reportable findings

A complete copy of the audit is available upon request.

The audit for the period ended March 31, 2011 shall be available upon completion and approval by HUD, which should occur in the first quarter of 2012.

Asset Management

A statement of how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.

ASSET MANAGEMENT STATEMENT

The Authority has converted all systems to asset management. Our Project Managers are enthusiastic about their role in the management plan, and are making marked improvements to the financial, physical and occupancy related performance of their respective asset management projects. Having the Project Manager, Maintenance Personnel and Occupancy Personnel operating directly from the property has enhanced our customer service and increased our efficiency.

Our three Asset Management Projects are Yates Village, the Eastside and Downtown.

YATES VILLAGE ASSET MANAGEMENT PROJECT

Current Status

Yates Village is our largest family development. This 300 unit property sits in the northernmost part of the City, isolated from many of the downtown services and public transportation bus routes.

Since its initial construction in 1950, changes have occurred that respond to resident's needs. A program rich environment was created that includes: a Head Start classroom managed by the Schenectady Community Action Program is at full capacity with Yates Village children; a Boys and Girls Clubs Program facility with a fully equipped computer education center for adults and children; an on-site Family Self Sufficiency Program office, and more. The programs are popular and well utilized by families occupying Yates Village, and we plan to maintain and grow the facility as part of the overall asset management plan.

Although the project is 57 years old, the brick structures are in very good physical condition, and interior apartment modernization has kept the maintenance costs reasonable. Recent upgrades to sewer lines and roadways have also improved the long term viability of the site. Many of the project's energy needs were addressed via energy performance contract and weatherization program funds. The on-site maintenance facility that is used by the decentralized maintenance staff for office space, vehicles, equipment and warehousing, has been expanded and modernized.

Future of the AMP

Our current plan for this project is to maintain it for future use as a Public Housing property.

Strategy

One of our challenges at Yates Village is managing a large number of families in a limited area, and simultaneously curbing lease violations that include unauthorized persons residing in units, nuisance and violent crime, and drug crime. With on-site property management and an intensive focus to refine screening, admissions and eviction policies, we will see great progress in this area.

EASTSIDE ASSET MANAGEMENT PROJECT

Current Status

The Eastside Asset Management Project consists of three family housing developments: Steinmetz Homes, MacGathan Townhouses, and Maryvale Apartments. This is a sound grouping as Steinmetz Homes and MacGathan Townhouses are neighboring properties, and Maryvale Apartments is only an eight unit property.

Steinmetz Homes was built in 1943, and neighboring MacGathan Townhouse was built in 1973. Steinmetz consists of 50 separate buildings which contain 244 units, and MacGathan is 50 units among 14 buildings. The properties are centrally located for public transportation and easy access to downtown merchants and services.

The Steinmetz Family Investment Center facility opened in 1996, and currently houses self-sufficiency and other services for residents to utilize, including a Boys and Girls Clubs Program facility, and a fully equipped computer education center for adults and children.

The brick structures at Steinmetz are in good physical condition. MacGathan is in excellent physical condition, with many recent improvements occurring to building exteriors and grounds. Maryvale's 8 unit townhouses are also in excellent condition inside and out.

Future of the AMP

Our current plan for this AMP is to maintain the developments for future use as Public Housing property.

Strategy

Several capital projects are underway including kitchen and appliance upgrades. Manage the Family Investment Center to become financially self-sustaining through office space rental proceeds.

DOWNTOWN ASSET MANAGEMENT PROJECT

Current Status

The Downtown Asset Management Project consists of three elderly and disabled housing developments: Ten Eyck Apartments, Schonowee Village, and Lincoln Heights. They are neighboring developments within walking distance of each other.

Schonowee Village is one of the oldest developments in the nation, completed in 1938, with 210 units. The infrastructure is in good working order, and the brick exterior requires some physical improvements. Ten Eyck is a 7 floor high rise completed in 1963, and is in good physical condition, with 101 units. Lincoln Heights, 105 units opened in 1943, is also in good condition.

Future of the AMP

Our current plan for this AMP is to maintain the developments for future use as Public Housing property.

Strategy

Many of the AMPs energy needs were addressed via energy performance contract, American Recovery and Reinvestment Act funds, and weatherization program funds. To keep pace with the low-income housing market for the elderly, we will continue to modernize as needed.

Violence Against Women Act

A description of: 1) Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; 2) Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and 3) Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.

The Schenectady Municipal Housing Authority adopted a policy on the Violence Against Women Act on September 25, 2007 (Resolution #45/09/07), for the purpose of reducing domestic violence, dating violence and stalking, and to prevent the victims of such violence from becoming homeless. This policy has been incorporated into the SMHA Admissions and Continued Occupancy Policy, the SMHA Shelter Plus Care Policy, and the SMHA Housing Choice Voucher Administrative Plan.

It is the Schenectady Municipal Housing Authority's goal to support and assist victims of domestic violence, dating violence, sexual assault, or stalking, in that prior to taking adverse action against an applicant or tenant, any reported domestic situation is reviewed and considered against the rights afforded to them by the Violence Against Women Act. The Schenectady Municipal Housing Authority collaborates with, and makes referrals to, domestic violence professionals at the local YWCA, City Mission and Department of Social Services.

General Services

There are human services provided to all tenants and in some cases neighbors on one or more of our seven public housing sites in the City of Schenectady. Most, but not all, of these services are offered at our Family Investment Center at Steinmetz Homes, or our Family Self Sufficiency Center at Yates Village.

Specialized Services

Foremost among these would have to be our referrals to the YWCA Domestic Violence Program, which includes a Domestic Violence Shelter, a long-term housing placement program, and domestic violence counseling. It is the preeminent domestic violence program in the City.

They receive special notification from the Schenectady Police Department whenever a domestic violence problem is discovered. Domestic violence counselors can see victims on site when desired, although we have found that often victims do not want to be seen visiting with a counselor on-site and prefer to be counseled at the main YWCA.

Helping Victims Maintain Housing

Of prime importance would have to be our VAWA Policy which we have incorporated as part of our PH ACOP, our Section 8 Administrative Plan, and our Shelter Plus Care Policy Manual. This policy provides assurance that SMHA has considered the ramifications of the Violence Against Women Act, and has made local provisions to insure compliance and more. We also have many MOA/Referral Agreements with various agencies dealing with domestic violence victims, troubled families, foster care prevention programs, Head Start and early childhood development programs, etc. to encourage their clients to fill out housing applications.

Preventing Violence and Enhancing Victim Safety

We have for many years encouraged and assisted victims of domestic violence in seeking orders of protection. We have also complemented their efforts by filing "Persona Non Grata" letters affecting violent spouses and other violent criminals with the Schenectady Police Department. This allows police to arrest at will these individuals on public housing property.

We consider victim requests for apartment transfer when tenant safety matters are concerned.

As far as prevention is concerned, we emphasize referral of ALL public housing tenants to needed service. We encourage all staff persons to assist tenants in acquiring the services they need. This effort is magnified in the case of those families we enroll in the Family Self Sufficiency Program. We have open, unlimited enrollment in this program with HUD approved voluntary capacity levels far above the required slots.

We also co-sponsor a "Father's Housing Program" along with Parsons Child and Family Center and Family and Child Services of Schenectady (Father's Housing Program Agreement available for review at the Administrative Office). Together we staff and provide meeting space to a group of custodial and non-custodial fathers living in Schenectady County, who are determined to be and become responsible and supportive fathers, regularly paying court ordered child support, spending time with their children, etc.

Violence Against Women Act (VAWA) Policy

Schenectady Municipal Housing Authority
SMHA VIOLENCE AGAINST WOMEN ACT POLICY
Effective 9/25/2007

1.0 Purpose

The purpose of this policy is to reduce domestic violence, dating violence and stalking and to prevent the victims of such violence from becoming homeless by:

- a) Protecting victim access to affordable housing
- b) Protecting the safety of victims
- c) Creating long-term housing solutions for victims
- d) Promoting collaborative action between victim service providers and ourselves assisting SMHA to respond appropriately to the violence victim(s) while maintaining a safe environment for our employees, other agency employees who work at our sites, applicants, PH tenants, Section 8 participants, Shelter Plus Care participants and others who might be affected by our actions as a housing authority.

SMHA shall not discriminate against an applicant, public housing resident, Section 8 program participant, Shelter Plus Care participant, or other program participant on the basis of the rights or privileges provided under the VAWA.

This policy shall be incorporated into the SMHA Admissions and Continued Occupancy Policy manual, the SMHA Section 8 Administrative Plan, and the SMHA Shelter Plus Care Policy Manual.

2.0 Definitions

Definitions in this section apply only to this policy.

2.1 Dating Violence: Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim, and where the existence of such a relationship shall be determined based on a consideration of the following factors: (i) the length of the relationship; (ii) the type of relationship; (iii) the frequency of interaction between the persons involved in the relationship.

2.2 Domestic Violence: Includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabited with the victim as a spouse, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction.

2.3 Immediate Family Member: A spouse, parent, brother or sister, or child of the person, or an individual to whom that person stands in loco parentis (in place of a parent); or any other person living in the household of that person and related to that person by blood or marriage.

2.4 Stalking: To follow, pursue, or repeatedly commit acts with the intent to kill, injure, harass, or intimidate; or to place under surveillance with the intent to kill, injure, harass, or intimidate another person; and in the course of, or as a result of, such following, pursuit surveillance, or repeatedly committed acts, to place a person in reasonable fear of the death of, or serious bodily injury to, or to cause substantial emotional harm to (i) that person; (ii) a member of the immediate family of that person; or (iii) the spouse or intimate partner of that person.

2.5 Victim: Is a person who is the victim of domestic violence, dating violence, or stalking under this Policy and who has completed the certification referred to in Section 3.0 of this policy statement in a complete and timely fashion.

3.0 Certification and Confidentiality

3.1 HUD Approved Certification: For each incident where a person is claiming victim status, that person shall certify to SMHA their victim status by completing a HUD approved certification form (see attached). The person shall certify the date, time and description of the incident(s), that the incident(s) are bona fide incidents of actual or threatened abuses and meet the requirements of VAWA and this Policy. The person shall provide information to identify the perpetrator including but not limited to the name (and if know all alias names), date of birth, address, contact information such as postal, e-mail or internet address, telephone or fax number and other pertinent information.

3.2 Other Certification: In lieu of providing a HUD certification, a person who is claiming victim status may provide to SMHA:

a) documentation signed by the victim and an employee/agent/volunteer of a victim services provider, an attorney, or a medical professional from who the victim has sought assistance in addressing domestic violence, dating violence or stalking or the effects of the abuse, in which the professional attests under penalty of perjury (28 U.S.C. Sec. 1746) to the professional's belief that the incident(s) in question are bona fide incidents of abuse; or

b) a federal, state, tribal, territorial, local police or court record.

3.3 Failure to provide Certification: The person claiming victim status shall provide complete and accurate certification to SMHA within 14 business days after the party requests in writing that the person completes the certification. If the person alleging violence does not provide a complete and accurate certification within the 14 business days, SMHA may take action to deny or terminate participation or tenancy.

3.4 Confidentiality: SMHA shall keep all information provided under the Policy confidential. SMHA shall not provide the information to any related entity or individual except to the extent that:

- a) The victim requests or consent to the disclosure in writing, or
- b) The disclosure is required by applicable law.

4.0 Basis for Denial of Admission, Assistance, or Tenancy.

4.1 The SMHA shall not deny participation or admission to a program on the basis of a person's victim status, if the person otherwise qualifies for admission or assistance.

4.2 An incident or incidents of actual or threatened domestic violence, dating violence, or stalking will not be a serious or repeated violation of the lease by the victim and shall not be good cause for denying to a victim admission to a program, terminating Section 8 assistance or occupancy rights, participation in the Shelter Plus Care Program, or evicting a tenant.

4.3 Criminal activity directly related to domestic violence, dating violence, or stalking engaged in by a member of the tenant's household or any guest or other person under the tenant's control shall not be cause for termination of assistance, tenancy, or occupancy rights. If the tenant or immediate members of the tenant's family are the victim(s) of that domestic violence, dating violence, or stalking.

4.4 Notwithstanding Sections 4.1, 4.2 and 4.3, the SMHA may bifurcate a lease to evict, remove or terminate assistance to any individual who is a tenant or lawful occupant and who engages in criminal acts of physical violence against family members or others without evicting, removing, termination assistance to or otherwise penalizing the victim(s) of the violence who is also a tenant or lawful occupant.

4.5 Nothing in Section 4.1, 4.2 or 4.3 shall limit the authority of SMHA when notified, to honor court orders addressing rights of access to or control of the property, including civil protection orders issued to protect the victim and issued to address the distribution or possession of property among the household members when the family break up.

4.6 Nothing in Sections 4.1, 4.2 or 4.3 limits SMHA's authority to evict or terminate assistance to any tenant for any violation of lease not premised on the act or acts of violence against the tenant or a member of the tenant's household. However SMHA may not hold victim to a more demanding standard than any other tenant or participant.

4.7 Nothing in Sections 4.1, 4.2 or 4.3 limits the SMHA's authority to evict or terminate assistance, or deny admission to a program if the SMHA can show an actual and imminent threat to other tenants, neighbors, guests, their employees, persons providing services to the tenants or the property of others if the tenant family is not evicted or terminated from assistance or denied admission.

4.8 Nothing in Sections 4.1, 4.2 and 4.3 limits the SMHA's authority to deny admission, terminate assistance or evict a person who engages in criminal acts including but not limited to acts of violence or stalking against family members or others.

4.9 A Section 8 recipient who moves out of an assisted dwelling unit to protect their health or safety and who: a) is a victim under this Policy; b) reasonably believes he or she was imminently threatened by harm from further violence if she/he remains in the unit; and c) has complied with all other obligations of the Section 8 program may receive a voucher and/or move to another Section 8 jurisdiction.

4.10 A public housing tenant who wants a transfer to protect their health or safety and who: a) is a victim under this policy; b) reasonably believes she/he remains in the unit; and c) has complied with all other obligations of the Section 8 program may receive a voucher and/or move to another Section 8 jurisdiction.

5.0 Actions Against a Perpetrator

The SMHA may evict, terminate assistance, or deny admission to a program or bring charges of trespass on its property against a perpetrator under this Policy. The victim shall take action to control or prevent the domestic violence, dating violence, or stalking. These actions may include but are not limited to: a) obtaining and enforcing a restraining or no-contact order, or an order for protections against the perpetrator; b) obtaining and enforcing a trespass charge against the perpetrator; c) preventing the delivery of the perpetrator's mail to the victim's unit; d) providing identifying information listed in 3.2; and e) other reasonable measures.

6.0 Notice to Applicants, Participants, Tenants and Section 8 Landlords and Managers.

SMHA shall provide notice to applicants, participants, tenants, managers and owners of their rights and obligations under Section 3.4 Confidentiality and Section 4.0 Basis for Denial of Admission, Assistance or Tenancy.

7.0 Preferences

Families who are victims under VAWA will receive a preference in SMHA's public housing, Section 8, and Shelter Plus Care programs. Families/family members who have been victims of domestic violence, dating violence, or stalking shall provide an acceptable form of certification to qualify for preference, as outlined in Section 3.0.

8.0 Reporting Requirements

SMHA shall include in its 5 Year Plan a statement of goals, objectives, policies or programs that will serve the needs of victims. SMHA shall also include a description of activities, services or programs provided or offered either directly or in partnership with other service providers to victims, in order to help victims obtain or maintain housing or to prevent the abuse or to enhance the safety of victims.

9.0 Conflict and Scope

This Policy does not enlarge SMHA's duty under any law, regulation or ordinance. If this Policy conflicts with the applicable law, regulation or ordinance, the law, regulation or ordinance shall control. If this Policy conflicts with any other SMHA policy, this Policy will control.

10.0 Amendment

The Executive Director may recommend to the Board of Commissioners amendments to this policy when it is deemed reasonable to effectuate the Policy's intent, purpose, or interpretation. The amendment shall be effective and incorporated into appropriate program policies and manuals on that date the amendment is approved by the Commissioners.

11.0 Legislative and Regulatory authority

The provisions of its policy are based on conformity with the provision of the following laws, regulations and notices:

- a) The Violence Against Woman Act of 1994
- b) The Violence Against Women Reauthorization Act of 2005
- c) U.S. Department of Housing and Urban Development, Notice PIH 2006-23
- d) U.S. Department of Housing and Urban Development, Notice PIH 2006-42

Hope VI Mixed Finance Development

Hope VI or Mixed Finance Modernization or Development. 1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals.

Section (j)(2) of the Public Housing Reform Act defines severely distressed public housing as a public housing project (or building in a project) that:

- (A)
 - (i) requires major redesign, reconstruction or redevelopment, or partial or total demolition, to correct serious deficiencies in the original design (including inappropriately high population density), deferred maintenance, physical deterioration or obsolescence of major systems and other deficiencies in the physical plant of the project;
 - (ii) is a significant contributing factor to the physical decline of and disinvestment by public and private entities in the surrounding neighborhood;
 - (iii)
 - (I) is occupied predominantly by families who are very low-income families with children, are unemployed, and dependent on various forms of public assistance; or
 - (II) has high rates of vandalism and criminal activity (including drug-related criminal activity) in comparison to other housing in the area;
 - (iv) cannot be revitalized through assistance under other programs, such as the program for capital and operating assistance for public housing under this Act, or the programs under sections 9 and 14 of the United States Housing Act of 1937 (as in effect before the effective date under section 503(a) of the Quality Housing and Work Responsibility Act of 1998), because of cost constraints and inadequacy of available amounts; and
 - (v) in the case of individual buildings, is, in the Secretary's determination, sufficiently separable from the remainder of the project of which the building is part to make use of the building feasible for purposes of this section; or

- (B) that was a project described in subparagraph (A) that has been legally vacated or demolished, but for which the Secretary has not yet provided replacement housing assistance (other than tenant-based assistance).

The Schenectady Municipal Housing Authority anticipates continuing its plan to modernize and revitalize apartments, buildings, developments and grounds of all seven developments through means other than Hope VI funding. Funding will continue through the Capital Fund Program grant, Energy Performance Contract programs, weatherization funds through the State of New York, and other opportunities. If conditions change so that any of our buildings or developments meet the definition of severely distressed public housing, then Hope VI funding may be pursued.

Demolition and/or Disposition

With respect to public housing projects owned by the PHA and subject to ACCs under the Act: (1) A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition.

The Schenectady Municipal Housing Authority is not planning for the demolition or disposition of any housing subject to its Annual Contributions Contract with HUD and the United States of America.

Conversion of Public Housing

With respect to public housing owned by a PHA: 1) A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or that the public housing agency plans to voluntarily convert; 2) An analysis of the projects or buildings required to be converted; and 3) A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion.

The Schenectady Municipal Housing Authority is not required to convert any building or buildings to tenant-based assistance, nor does the Schenectady Municipal Housing Authority plan any voluntarily conversion at this time.

Homeownership

A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.

SECTION 8

The Schenectady Municipal Housing Authority began its Section 8 Voucher Homeownership Program on January 1, 2002, based on the final rule published in the Federal Register on September 12, 2000.

Section 24 Part 982.628(a)(3) of the Code of Federal Regulations, which governs eligible units under the Section 8 Homeownership Program, states that the unit must be either a one-unit property or a single dwelling unit in a cooperative or a condominium.

According to year 2000 Census data, 33.7% of housing structures in the City of Schenectady are two-unit structures (2-family homes). The current two-family home market in Schenectady affords much more opportunity for low-income (Section 8) homebuyers than does the single-family home. The two-family homes are more available (only 37.8% of Schenectady housing structures are 1-unit per the 2000 Census), much more affordable, and offer the low-income buyer an opportunity to create revenue to maintain the home via rental income. The Section 8 Homeownership Program participant would be required to reside in the unit, as required under 24 CFR 982.633(a), Occupancy of Home.

Therefore, the Authority expects to pursue a regulatory waiver request of the eligible unit requirement of the homeownership option in order to allow a two-unit property, or two-family home, as an eligible unit type for a family assisted under the homeownership option. A request of this type was rejected by HUD in 2004.

PUBLIC HOUSING

HUD has terminated the Resident Opportunity and Supportive Service Family-Homeownership Grants that were specifically designed to provide public housing residents with employment training and counseling, transportation, child care assistance, homeownership counseling, credit counseling and High School Equivalency Diplomas in an effort to give them a better chance of becoming economically self-sufficient. Training vouchers were utilized to engage residents in formal training and education programs, and in turn provide residents with the opportunity to enter occupations that are in high demand in the local area.

Presently, the Schenectady Municipal Housing Authority operates a Public Housing Family Self Sufficiency Program that serves up to 50 participants. Family self-sufficiency is a HUD program designed to help families obtain employment that will lead to economic independence and self-sufficiency. Our service programs are structured to enable participating families to increase earned income, reduce or eliminate the need for welfare assistance, and make progress toward achieving economic independence and housing self-sufficiency. SMHA's Neighborhood Networks centers provide access to computers, computer training, the Internet, GED classes through the Schenectady City School District, and youth training through the Boys & Girls Clubs of Schenectady.

Project-based Vouchers

If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with the Plan.

The Schenectady Municipal Housing Authority has no plans for Project-basing any number of vouchers at the time this Plan is being developed. However, if Project Basing becomes an objective, we will proceed with the process to amend the Annual and 5-Year Plan due to a substantial deviation.

Capital Fund Program Annual Statement

**Capital Fund Program Annual
Statement/Performance & Evaluation Report (form HUD-50075.1) is
filed with this report as a separate attachment.**

Capital Fund Program 5-Year Action Plan

**Capital Fund Program Five-Year Action Plan (form HUD-50075.2) is
filed with this report as a separate attachment.**

Capital Fund Performance & Evaluation Reports

2008-2011

Capital Fund Program Performance & Evaluation Reports for 2008 - 2011 (form HUD-50075.1) are filed with this report as separate attachments.

Capital Fund Financing Program

Separate, written HUD approval is required if the PHA proposes to pledge any portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds.

The Schenectady Municipal Housing Authority has not pledged any portion of its Capital Fund Program funds to repay debt incurred to finance capital improvements.

Civil Rights Certification

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

Civil Rights Certification**Annual Certification and Board Resolution**

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioner, I approve the submission of the Plan for the PHA of which this document is a part and make the following certification and agreement with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

The PHA certifies that it will carry out the public housing program of the agency in conformity with title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990, and will affirmatively further fair housing.

Schenectady Municipal Housing Authority

NY028

PHA Name

PHA Number/HA Code

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Alfred Goldberger

Title

Chair, Board of Commissioners
Schenectady Municipal Housing Authority

Signature



Date

10/25/2011

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Replacement Housing Factor Grant No: _____ Date of CFFP: _____			FFY of Grant: FFY of Grant Approval: _____
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: _____) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: _____ <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 – 19)				
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security – Soft Costs				
24	Amount of line 20 Related to Security – Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Date of CFFP: _____		Replacement Housing Factor Grant No: _____	
				FFY of Grant: _____ FFY of Grant Approval: _____	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
Signature of Executive Director		Date	Signature of Public Housing Director		Date

[illegible]

² To be completed for the Performance and Evaluation Report.

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
² To be completed for the Performance and Evaluation Report.

[illegible]

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PHA Name:

Reasons for Revised Target Dates ¹

¹ Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Replacement Housing Factor Grant No: _____ Date of CFFP: _____			FFY of Grant: _____ FFY of Grant Approval: _____
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: _____) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: _____ <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 – 19)				
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security – Soft Costs				
24	Amount of line 20 Related to Security – Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Date of CFFP: _____		Replacement Housing Factor Grant No: _____	
				FFY of Grant: _____ FFY of Grant Approval: _____	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
Signature of Executive Director		Date	Signature of Public Housing Director		Date

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
² To be completed for the Performance and Evaluation Report.

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
² To be completed for the Performance and Evaluation Report.

PHA Name:

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form HUD-50075.1 (4/2008)

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

Part I: Summary						
PHA Name/Number Schenectady Municipal Housing Authority NY06P02850112			Locality (City/County & State) Schenectady, New York		<input checked="" type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:	
A.	Development Number and Name	Work Statement for Year 1 FFY : 2012	Work Statement for Year: 2 FFY : 2013	Work Statement for Year : 3 FFY : 2014	Work Statement for Year: 4 FFY: 2015	Work Statement for Year: 5 FFY: 2016
B.	Physical Improvements Subtotal	Annual Statement	709,407	710,407	621,832	556,407
C.	Management Improvements		137,800	132,800	131,800	131,800
D.	PHA-Wide Non-dwelling Structures and Equipment		61,000	65,000	154,575	220,000
E.	Administration		148,744	148,744	148,744	148,744
F.	Other (1430 A/E Fees Front line costs)		133,000	133,000	133,000	133,000
G.	Operations		297,488	297,488	297,488	297,488
H.	Demolition		0	0	0	0
I.	Development		0	0	0	0
J.	Capital Fund Financing – Debt Service		0	0	0	0
K.	Total CFP Funds		1,487,439	1,487,439	1,487,439	1,487,439
L.	Total Non-CFP Funds		0	0	0	0
M.	Grand Total		1,487,439	1,487,439	1,487,439	1,487,439

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

Part I: Summary (Continuation)

PHA Name/Number Schenectady Municipal Housing Authority NY06P02850112			Locality (City/county & State) Schenectady, New York		<input checked="" type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:	
A.	Development Number and Name	Work Statement for Year 1 FFY: 2012	Work Statement for Year: 2 FFY: 2013	Work Statement for Year: 3 FFY: 2014	Work Statement for Year: 4 FFY : 2015	Work Statement for Year: 5 FFY:2016
		Annual Statement				
	NY028000110 Downtown Schonowee Village		25,000	220,000	86,034	0
	NY028000110 Downtown Lincoln Heights		52,000	40,000	210,000	0
	NY028000110 Downtown Ten Eyck		0	162,407	15,000	60,000
	NY028000120 Eastside MacGathans Townhouses		185,000	25,000	50,000	15,000
	NY028000120 Eastside Maryvale Apts.		0	0	0	50,000
	NY028000120 Eastside Steinmetz Homes		292,407	83,000	100,000	175,034
	NY028000130 Yates Village		155,000	180,000	160,798	256,373
B.	Physical Improvement Subtotal		709,407	710,407	621,832	556,407
C.	Management Improvements		137,800	132,800	131,800	131,800
D.	PHA Wide Non-Dwelling Structures and Equipment		61,000	65,000	154,575	220,000
E.	Administration		148,744	148,744	148,744	148,744
F.	Other (Front Line Costs & A/E Fee's)		133,000	133,000	133,000	133,000
G.	Operations		297,488	297,488	297,488	297,488
H.	Demolition		0	0	0	0
I.	Development		0	0	0	0

Capital Fund Program—Five-Year Action Plan**U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011**

J.	Capital Fund Financing – Debt Service		0	0	0	0
K.	Total CFP Funds (estimated)		1,487,439	1,487,439	1,487,439	1,487,439
L.	Total Non-CFP Funds		0	0	0	0
M.	Grand Total		1,487,439	1,487,439	1,487,439	1,487,439

Part II: Supporting Pages – Physical Needs Work Statement(s)

Work Statement for Year 1 FFY 2012	Work Statement for Year: 2 FFY: 2013			Work Statement for Year: 3 FFY : 2014		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	NY028000110 DT Schonowee Village			NY028000110 DT Lincoln Heights		
Annual	SV Elevator Upgrade	50	5,000	Flooring – Force Acct	10	30,000
Statement	Smoke Detectors Common Areas	100	10,000	Masonry	20	10,000
	SiteWork/Paving/ Concrete/Masonry	25	10,000			
	NY028000110 DT Lincoln Heights			NY028000120 ES MacGathan Townhouses		
	Sitework / Sidewalks / Railings	20	27,000	Plumbing Upgrade	25	25,000
	Landscape	100	25,000	NY028000120 ES Steinmetz Homes		
				Sitework/Landscape	50	25,000
	NY028000130 Yates Village			AMP WIDE Dwelling Equipment	19	5,000
	Landscape/Site Work	50	10,000	Paving/Curbs	10	41,000
	Painting	10	12,000	Masonry	15	12,000
	Step Replacement/Canopy Reno	10	90,000	NY028000110 DT Schonowee Village		
	Paving/Catch Basins	20	10,000	Renovate Exterior of Building 4	100	40,000
				Elevator Shaft Drywall	3	5,000
	Concrete / Masonry	50	33,000	Roofs	40	175,000
	NY028000120 ES Steinmetz Homes			NY028000130 Yates Village		
	Kitchen Renovation	10	97,407	Storm Doors	50	30,000
	Flooring	5	10,000	Ext / Int. Doors	25	50,000

Capital Fund Program—Five-Year Action Plan

**U.S. Department of Housing and Urban Development
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Expires 4/30/2011**

	Front / Back Porch Renovation	15	125,000	Intercom at Daycare	100	5,000
	Door Replacement	10	21,000	Roof Replacement	1	80,000
	FOB's / Sec. Cameras	100	11,000	EMS Sensors in Apts	5	20,000
	Fence on Property line	100	10,000			
	Rebuild firewall in attic	1	8,000	NY028000110 DT Ten Eyck		
	B&G Club Expansion	1	10,000	Plumbing	100	10,000
	FIC Flooring	1	6,000	Masonry / EFIS	25	10,000
	Ceiling Stabilization / Installation Force Acct	10	15,000			
	NY028000120 ES MacGathan Townhouses			Kitchen / Bath Reno	8	62,407
	Kitchen / Bath Reno	10	135,000	Replace Electric Panels	1	72,000
	Door Replacement	10	50,000	Replace heat pumps	4	8,000
	Subtotal of Estimated Cost		\$730,407	Subtotal of Estimated Cost		\$715,407

Part II: Supporting Pages – Physical Needs Work Statement(s)						
Work Statement for Year 1 FFY 2012	Work Statement for Year: 4 FFY: 2015			Work Statement for Year: 5 FFY: 2016		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	NY028000130 Yates Village			NY028000130 Yates Village		
Annual	Plumbing Upgrades	1	15,000	Roof Replacement	2	164,373
Statement	Windows	60	140,798	Boilers	1	65,000
	Security Camera Project	1	44,575	Replace A/C in Comm. Room & Office Spaces	1	25,000
	AMP WIDE Dwelling Equipment	19	5,000	Interior Lighting Upgrade	39	10,000
	NY028000120 ES Steinmetz Homes			Community Room Upgrade	1	22,000
	Ext. Lighting	1	40,000			
	Roofs	5	60,000	NY028000110 DT Ten Eyck		
	NY028000120 ES MacGathan Townhouses			Paving/Concrete	1	20,000
	Ext. Lighting	1	30,000			
	Sitework/Landscape	1	20,000	Elevator Upgrade	1	10,000
	NY028000110 DT Lincoln Heights			Admin Offices Remodeled and admin lobby doors replaced	1	70,000
	Kitchen & Bath Rehab	10	80,000	Admin Carpet Replaced	1	60,000
	Clean Ducts	105	20,000	South Hallway & bathroom Renovated	1	30,000
	LBP Abatement in Apts	4	65,000			
	Windows	5	5,000			
	Comm Rm Generator	1	10,000			
	Paving	1	30,000			
	NY028000110 DT Ten Eyck			NY028000120 ES Steinmetz Homes		

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
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Expires 4/30/2011

	Replace Closet Doors – Force Account	18	13,000	Int. Doors	20	40,000
	Heat Pump Replacement	10	50,000	Windows	10	15,000
	Security Cameras	2	2,000	Ext. Siding Replaced	40	40,000
	NY028000110 DT Schonowee Village			Apartment Remodel – Force Acct	2	80,034
	Blg 5 Entrance Drainage	1	20,000	NY028000120 ES MacGathan Townhouses		
	Roof install at Blg 5	1	15,034	Stair Replacement	10	15,000
	Garbage Chute Doors	20	16,000	NY028000120 ES Maryvle Apts.		
	Replace Compactors	6	20,000	Replace Ext/Int Doors	8	12,000
	Asbestos Floor Tile Abatement	50	15,000	Parking lot repaved	1	22,000
				Concrete step replacement	1	10,000
				Windows	1	6,000
	Subtotal of Estimated Cost		\$716,407	Subtotal of Estimated Cost		\$716,407

Part III: Supporting Pages – Management Needs Work Statement(s)

Work Statement for Year 1 FFY 2012	Work Statement for Year : 2 FFY: 2013		Work Statement for Year: 3 FFY : 2014	
	Development Number/Name General Description of Major Work Categories	Estimated Cost	Development Number/Name General Description of Major Work Categories	Estimated Cost
See	NY028000110 Downtown AMP (Schonowee Village; Lincoln Heights; Ten Eyck)		NY028000110 Downtown AMP (Schonowee Village; Lincoln Heights; Ten Eyck)	
Annual	Staff Training	3,000	Staff Training	3,000
Statement	Congregate Care Service Coordinator	40,000	Congregate Care Service Coordinator	40,000
	Foot Patrols	1,000	Foot Patrols	1,000
	Computer Software	2,000	Computer Software	2,000
	Tenant Investigator	8,960	Tenant Investigator	8,960

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

	Security Coordinator	10,608	Security Coordinator	10,608
	Board Commissioner Training	2,050	Operations	121,970
	Operations	121,970	A/E Fee's	20,000
	A/E Fee's	20,000	Front Line Costs	12,000
	Front Line Costs	12,000	Non-Dwelling Equipment	20,000
	Non-Dwelling Equipment	20,000		
	Dwelling Equipment	3,000	SUB TOTAL	\$239,538
	SUB TOTAL	\$221,588		
	NY028000120 Eastside AMP (MacGathans; Maryvale; Steinmetz)		NY028000120 Eastside AMP (MacGathans; Maryvale; Steinmetz)	
	Staff Training	3,000	Staff Training	3,000
	Foot Patrols	2,000	Foot Patrols	2,000
	Computer Software	2,000	Computer Software	2,000
	Tenant Investigator	12,160	Tenant Investigator	12,160
	Security Coordinator	16,320	Security Coordinator	16,320
	Board Commissioner Training	1,500	Operations	89,246
	Operations	89,246	A/E Fee's	40,000
	A/E Fee's	40,000	Front Line Costs	18,000
	Front Line Costs	18,000	Non-Dwelling Equipment	20,000
	Non-Dwelling Equipment	20,000		
	SUB TOTAL	\$204,226	SUB TOTAL	202,726
	NY028000130 Yates Village AMP		NY028000130 Yates Village AMP	
	Staff Training	3,000	Staff Training	3,000
	Foot Patrols	2,000	Foot Patrols	2,000
	Computer Software	2,000	Computer Software	2,000
	Tenant Investigator	10,880	Tenant Investigator	10,880
	Security Coordinator	13,872	Security Coordinator	13,872
	Board Commissioner Training	1,450	Operations	86,272
	Operations	86,272	A/E Fee's	25,000
	A/E Fee's	25,000	Front Line Costs	18,000
	Front Line Costs	18,000	Non-Dwelling Equipment	20,000
	Non-Dwelling Equipment	20,000		
	SUB TOTAL	\$182,474	SUB TOTAL	\$181,024
	COCC Administration	\$148,744	COCC Administration	\$148,744
	Subtotal of Estimated Cost	\$757,032	Subtotal of Estimated Cost	\$772,032

Part III: Supporting Pages – Management Needs Work Statement(s)

Work Statement for Year 1 FFY 2012	Work Statement for Year: 4 FFY : 2015		Work Statement for Year: 5 FFY: 2016	
	Development Number/Name General Description of Major Work Categories	Estimated Cost	Development Number/Name General Description of Major Work Categories	Estimated Cost
See	NY028000110 Downtown AMP (Schonowee Village; Lincoln Heights; Ten Eyck)		NY028000110 Downtown AMP (Schonowee Village; Lincoln Heights; Ten Eyck)	
Annual	Staff Training	3,000	Staff Training	3,000
Statement	Congregate Care Service Coordinator	40,000	Congregate Care Service Coordinator	40,000
	Foot Patrols	1,000	Foot Patrols	1,000
	Computer Software	2,000	Computer Software	2,000
	Tenant Investigator	8,960	Tenant Investigator	8,960
	Security Coordinator	10,608	Security Coordinator	10,608
	Non-Dwelling Equipment	20,000	Non-Dwelling Equipment	20,000
	Operations	121,970	Operations	121,970
	A/E Fee's	20,000	A/E Fee's	20,000
	Front Line Costs	12,000	Front Line Costs	12,000
	SUB TOTAL	\$239,538	SUB TOTAL	\$239,538
	NY028000120 Eastside AMP (MacGathans; Maryvale; Steinmetz)		NY028000120 Eastside AMP (MacGathans; Maryvale; Steinmetz)	
	Staff Training	3,000	Staff Training	3,000
	Foot Patrols	2,000	Foot Patrols	2,000
	Computer Software	2,000	Computer Software	2,000
	Tenant Investigator	12,160	Tenant Investigator	12,160
	Security Coordinator	16,320	Security Coordinator	16,320
	Non-Dwelling Equipment	20,000	Non-Dwelling Equipment	20,000
	Operations	89,246	Operations	89,246
	A/E Fee's	40,000	A/E Fee's	40,000
	Front Line Costs	18,000	Front Line Costs	18,000
	SUB TOTAL	\$202,726	SUB TOTAL	\$202,726
	NY028000130 Yates Village AMP		NY028000130 Yates Village AMP	
	Staff Training	3,000	Staff Training	3,000
	Foot Patrols	2,000	Foot Patrols	2,000
	Computer Software	1,000	Computer Software	1,000
	Tenant Investigator	10,880	Tenant Investigator	10,880
	Security Coordinator	13,872	Security Coordinator	13,872

Capital Fund Program—Five-Year Action Plan

**U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011**

	Operations	86,272	Operations	86,272
	A/E Fee's	25,000	A/E Fee's	25,000
	Front Line Costs	18,000	Front Line Costs	18,000
	Non-Dwelling Equipment	20,000	Non-Dwelling Equipment	20,000
	SUB TOTAL	\$180,024	SUB TOTAL	\$180,024
	COCC Administration	\$148,744	COCC Administration	\$148,744
	Subtotal of Estimated Cost	\$771,032	Subtotal of Estimated Cost	\$771,032

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Replacement Housing Factor Grant No: _____ Date of CFFP: _____			FFY of Grant: _____ FFY of Grant Approval: _____
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: _____) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: _____ <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 – 19)				
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security – Soft Costs				
24	Amount of line 20 Related to Security – Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Date of CFFP: _____		Replacement Housing Factor Grant No: _____	
				FFY of Grant: _____ FFY of Grant Approval: _____	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
Signature of Executive Director		Date		Signature of Public Housing Director	
				Date	

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PHA Name:

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Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Replacement Housing Factor Grant No: _____ Date of CFFP: _____			FFY of Grant: _____ FFY of Grant Approval: _____
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 9-30-2011 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 – 19)				
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security – Soft Costs				
24	Amount of line 20 Related to Security – Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

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Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Date of CFFP: _____		Replacement Housing Factor Grant No: _____	
				FFY of Grant: _____ FFY of Grant Approval: _____	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 9-30-2011 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
Signature of Executive Director		Date	Signature of Public Housing Director		Date

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Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Replacement Housing Factor Grant No: _____ Date of CFFP: _____			FFY of Grant: _____ FFY of Grant Approval: _____
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: _____) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <u>9-30-2011</u> <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 – 19)				
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security – Soft Costs				
24	Amount of line 20 Related to Security – Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

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Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Date of CFFP: _____		Replacement Housing Factor Grant No: _____	
				FFY of Grant: _____ FFY of Grant Approval: _____	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 9-30-2011 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
Signature of Executive Director		Date		Signature of Public Housing Director	
				Date	

[illegible]

² To be completed for the Performance and Evaluation Report.

[illegible]

² To be completed for the Performance and Evaluation Report.

PHA Name:

[illegible]

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form HUD-50075.1 (4/2008)

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Replacement Housing Factor Grant No: _____ Date of CFFP: _____			FFY of Grant: _____ FFY of Grant Approval: _____
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 9-30-2011 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 – 19)				
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security – Soft Costs				
24	Amount of line 20 Related to Security – Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

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Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Date of CFFP: _____		Replacement Housing Factor Grant No: _____	
				FFY of Grant: _____ FFY of Grant Approval: _____	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 9-30-2011 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
Signature of Executive Director		Date	Signature of Public Housing Director		Date

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[illegible]

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PHA Name:

Reasons for Revised Target Dates ¹

¹ Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Replacement Housing Factor Grant No: _____ Date of CFFP: _____			FFY of Grant: _____ FFY of Grant Approval: _____
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 9 - 30 - 2011 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 – 19)				
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security – Soft Costs				
24	Amount of line 20 Related to Security – Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Date of CFFP: _____		Replacement Housing Factor Grant No: _____ FFY of Grant: _____ FFY of Grant Approval: _____	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 9-30-2011 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
Signature of Executive Director		Date	Signature of Public Housing Director		Date

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
² To be completed for the Performance and Evaluation Report.

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
² To be completed for the Performance and Evaluation Report.

PHA Name:

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form HUD-50075.1 (4/2008)

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Replacement Housing Factor Grant No: _____ Date of CFFP: _____			FFY of Grant: FFY of Grant Approval: _____
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: _____) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 9-30-11 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 – 19)				
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security – Soft Costs				
24	Amount of line 20 Related to Security – Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

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⁴ RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Date of CFFP: _____		Replacement Housing Factor Grant No: _____	
				FFY of Grant: _____ FFY of Grant Approval: _____	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 9-30-11 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
Signature of Executive Director		Date	Signature of Public Housing Director		Date

[illegible]

² To be completed for the Performance and Evaluation Report.

[illegible]

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PHA Name:

[illegible]

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Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Replacement Housing Factor Grant No: _____ Date of CFFP: _____			FFY of Grant: _____ FFY of Grant Approval: _____
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: _____) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 9-30-11 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 – 19)				
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security – Soft Costs				
24	Amount of line 20 Related to Security – Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

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Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
Expires 4/30/2011

Part I: Summary					
PHA Name:		Grant Type and Number Capital Fund Program Grant No: _____ Date of CFFP: _____		Replacement Housing Factor Grant No: _____	
				FFY of Grant: _____ FFY of Grant Approval: _____	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 9-30-11 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
Signature of Executive Director		Date		Signature of Public Housing Director	
				Date	

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
² To be completed for the Performance and Evaluation Report.

[illegible]

² To be completed for the Performance and Evaluation Report.

[illegible]

form HUD-50075.1 (4/2008)

PHA Name:

Reasons for Revised Target Dates ¹

¹ Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 4/30/2011

Part I: Summary					
PHA Name: Schenectady Municipal Housing Authority 375 Broadway Schenectady NY, 12305		Grant Type and Number Capital Fund Program Grant No: NY02800011009R Replacement Housing Factor Grant No: Date of CFFP:			FFY of Grant: 2009 FFY of Grant Approval:
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 9-30-11 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)	251,750	251,750	251,750	217,907.63
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	158,981	158,981	158,981	151,801.00
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures	2,106,769	2,106,769	2,106,769	1,810,352.49
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures	0	0	0	0
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				

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Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary					
PHA Name: Schenectady Municipal Housing Authority 375 Broadway Schenectady NY, 12305	Grant Type and Number Capital Fund Program Grant No: NY02800011009R Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant:2009 FFY of Grant Approval:			
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 9-30-11 <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$2,517,500	2,517,500	2,517,500	2,180,061.12
21	Amount of line 20 Related to LBP Activities	40,000	19,800	19,800	19,800
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures	\$1,838,166	1,838,166	1,838,166	1,541,749.49
Signature of Executive Director		Date		Signature of Public Housing Director	
				Date	

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Part II: Supporting Pages								
PHA Name: Schenectady Municipal Housing Authority 375 Broadway Schenectady NY, 12305			Grant Type and Number Capital Fund Program Grant No: NY02800011009R CFFP (Yes/ No): NO Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
NY 028000110 - Downtown	Install condensing Boilers	1460		738,166	738,166	738,166	738,166	
NY 028000110 - Downtown	EMS Control system	1460		1,100,000	1,100,000	1,100,000	803,583.49	
NY 028000110 - Downtown	Roof Replacement/Chimney Rebuilds	1460		59,950	59,950	59,950	59,950	
NY 028000110 - Downtown	Water Meter Replacement	1460		24,995	24,995	24,995	24,995	
NY 028000110 - Downtown	Exterior Door Replacement	1460		12,084	12,084	12,084	12,084	
NY 028000110 - Downtown	Generator Upgrade	1460		171,574	171,574	171,574	171,574	
PHA Wide	Administration	1410		251,750	251,750	251,750	217,907.63	
NY 028000110 - Downtown	A/E Fee's	1430		120,326	120,326	120,326	113,146	
NY 028000110 - Downtown	Front Line Costs	1430		20,000	20,000	20,000	20,000	
NY 028000110 - Downtown	LBP Testing	1430		18,655	18,655	18,655	18,655	

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Part II: Supporting Pages								
PHA Name: Schenectady Municipal Housing Authority 375 Broadway Schenectady NY, 12305			Grant Type and Number Capital Fund Program Grant No: NY02800011009R CFFP (Yes/ No): NO Replacement Housing Factor Grant No:			Federal FFY of Grant: 2009		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
NY 028000110 - Downtown	Insulation/ air sealing measures	1460		0	0	0	0	
NY 028000110 - Downtown	Indoor Air Ventilation System	1470		0	0	0	0	
NY 028000110 - Downtown	Bathroom Upgrades	1460		0	0	0	0	

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